

RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY PROGRAM

APPLICATION KIT FOR ROSS FUNDING
FISCAL YEAR 1999

U.S. DEPARTMENT OF HOUSING AND URBAN
DEVELOPMENT
451 SEVENTH STREET, S.W., WASHINGTON, D.C. 20410
July 1999



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, D.C. 20410-5000

OFFICE OF THE ASSISTANT SECRETARY
FOR PUBLIC AND INDIAN HOUSING

July 1999

Dear Friend:

As a part of the Department's ongoing efforts to promote the transition from welfare to work as well as to focus resources on independent living for the elderly and persons with disabilities, I am pleased to announce \$66.6 million in funding for the new Resident Opportunities and Self Sufficiency (ROSS) Program. ROSS is a consolidation of programs funded in previous years for Economic Development and Supportive Services (EDSS), Tenant Opportunities Program (TOP), and Public Housing Service Coordinators.

As provided in the Public Housing Reform Act, ROSS is intended to link public housing residents with supportive services, resident empowerment activities, and assistance in becoming economically self-sufficient. To accomplish this purpose, it is imperative that housing agencies, residents, and other community partners work together to meet the challenges of welfare reform. The funding categories incorporated in ROSS are: Resident Management and Business Development; Resident Capacity Building and/or Conflict Resolution; Resident Service Delivery Models; and Service Coordinator Renewal.

ROSS is an important tool in providing services for self sufficiency activities for public housing residents. Our challenge is to use this program to build upon our legacy of services to public housing residents.

I encourage you to apply for the Resident Opportunities and Self Sufficiency Program. Before you begin preparing your application, you are encouraged to read carefully the entire Fiscal Year 1999 ROSS NOFA and this application kit. When preparing your application, you must use the attached application kit and NOFA. If you prepare your application properly, it will enable HUD to rate and rank your application in a timely manner. Please feel free to take this application kit apart and to use the forms found in the Appendices. You should also use the application checklist located in the Appendices to ensure that you have submitted a complete application.

If you have any questions regarding this kit, the ROSS program, or need additional copies, please contact HUD's Public and Indian Housing Information Resource Center at 1-800-955-2232.

For your convenience, the kit is located on HUD's website at <http://www.hud.gov>.

I wish you the best of luck during this funding round. I look forward to working with you as we continue our efforts to support public housing residents in making the difficult transition from welfare to work.

Sincerely,

Harold Lucas

Assistant Secretary

RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY PROGRAM (ROSS)

FISCAL YEAR 1999

RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY FY 1999

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ROSS FY 1999 FUNDING

INTRODUCTION

PROGRAM BACKGROUND

The *Quality Housing and Work Responsibility Act of 1998* (QHWRA) initiated numerous public housing reforms aimed at creating mixed income communities. Several initiatives are intended to enhance the quality of life for public and Indian housing residents while promoting self-sufficiency and personal responsibility in communities. A major component of the Act provides a mandate to link services and public housing residents for economic self-sufficiency.

The newly enacted *Quality Housing and Work Responsibility Act of 1998* merges and converts the former Economic Development and Supportive Services (EDSS) and Tenant Opportunities Programs (TOP) into the Resident Opportunities and Self Sufficiency (ROSS) Program. Consistent with the Department's goal to focus comprehensive resources on welfare to work and self-sufficiency activities, ROSS programmatically addresses the needs of public and Indian housing residents by providing supportive services that will:

- Enable the linking of essential services to public housing residents;
- Provide resident empowerment activities and assistance in becoming economically self-sufficient;
- Provide resources to enhance independent living for the elderly and person with disabilities;
- Provide resident organizations capacity building and conflict resolution; and
- Improve the overall quality of life for public and Indian housing residents.

This single competitive program restructures, redefines, and consolidates resources to address welfare to work requirements, the needs of independent living for elderly and persons with disabilities; promotes self sufficiency and personal responsibility among residents; and provides increased flexibility with reduced workloads and the possibility of more dollars for PHAs and Tribes or Tribally Designated Housing Entities (TDHEs) to increase their efforts to assist public and Indian housing residents.

The ROSS Program funding categories are:

- Resident Management and Business Development
- Resident Capacity Building
- Resident Conflict Resolution
- Resident Service Delivery Models (Family)
- Resident Service Delivery Models (Elderly/Disabled)
- Service Coordinators (Renewals only)

Per category, eligible applicants, activities, selection processes, and application deadlines vary. Please pay careful attention to the details for the category to which you are applying.

In the body of the Notice of Funding Availability (NOFA), found in the back of this application kit, is information concerning the program's purpose, applicant eligibility, selection criteria, and application processing, including how to apply, how selections will be made, and how applicants will be notified of results. **All potential applicants should review the NOFA in its entirety prior to completing their application. The NOFA contains additional information and complete details on application and program requirements.**

This application kit should be used to apply for a grant under the ROSS grant program in order for HUD to review and evaluate the applicant's eligibility, proposed grant activities, costs, and administrative capacity for successful grant implementation.

ORGANIZATION OF APPLICATION KIT

This Application Kit includes general instructions for preparation of an application and blank forms and worksheets in two basic parts:

Part I. *Basic Program Requirements* - This part provides information on how to develop your application. For additional information, please contact your local HUD Public Housing Division, Area Office of the Native American Programs, or the Public and Indian Housing Information and Resource Center at 1-800-955-2232.

Part II. *Cover Materials* – This part provides a cover sheet, fact sheet, and program summary to be completed by all applicants and used as cover materials in their applications. Each funding category will have a separate checklist to be inserted among the cover materials as well. Those checklists are located in Parts III – VI, which provide application submission materials for each ROSS funding category.

Part III – VI. *Program Submission Requirements for All Funding Categories* --

Cover sheets, instructions for narratives, charts, and other submission materials are provided for use in preparing your application in any of the funding categories. Each Tab has instructions for the information to be provided. Your application requires submissions under separate “Tabs.” Use each cover sheet as part of the first page for each tabbed section of your application. Use additional sheets as needed when developing sections of your application. Selected *sample* materials are often included for your convenience. Applicants may not copy the sample materials and insert them into the application.

Part VII. *Other Certifications and Assurances* – Blank copies of HUD and OMB forms are located in this section for use in the last tab of any ROSS application.

APPLICATION SUBMISSION

Except for the Resident Service Delivery Models funding category, eligible applications will be funded on a first-come, first-served basis, and applicants are urged to make their submissions as soon as possible.

By the application due date **an original and one copy** of the application must be received at the Grants Management Center (GMC); one copy must be received at the local Field Office with delegated public or assisted housing responsibilities attention: Director, Office of Public Housing. Applications should be sent to the GMC at the following address: Grants Management Center, Attention: Director, 501 School Street, S.W., Suite 800, Washington, D. C. 20024. A list of HUD Field offices is included in Part VII of the application kit for this NOFA.

In the case of Indian tribes/TDHEs, **an original and one copy** should be sent to the Office of Native American Programs (ONAP), Denver Program Office, 1999 Broadway, Suite 3390, Denver, CO 80202.

If the application is not physically received by the deadline, it will not be evaluated. Facsimile and telegraphic applications are not authorized and shall not be considered. Follow all delivery instructions in Section I of the NOFA.

Mailed applications will be considered timely filed if postmarked on or before 12:00 midnight on the application due date and received by the designated HUD Office.

Applications sent by overnight delivery or express mail will be considered timely filed if received before or on the application due date, or upon submission of documentary evidence that they were placed in transit with the overnight delivery service by no later than the specified application due date.

Hand carried applications will be accepted at GMC/HUD Field or AONAP Office during normal business hours before the application due date.

OMB APPROVAL

The application kit has been approved by the U.S. Office of Management and Budget. The approval number for ROSS is 2577-0211.

INFORMATION CONTACTS

If you have questions about this application kit or the program in general, please contact the nearest HUD Field or AONAP Office or the HUD Public and Indian Housing Information and Resource Center at 1-800-955-2232, P.O. Box 8577, Silver Spring, MD 20907. Additional copies of this application kit or the NOFA may be obtained on the HUD website at <http://www.hud.gov>, or by calling the PIH Information and Resource Center at 1-800-955-2232.

GENERAL TIPS FOR GRANT APPLICATION PREPARATION

- ✓ Follow the required Application Checklist for organizing your application. Follow Tabs, include all required narrative information and forms, and number each page.
- ✓ Prepare a concise application using simple language to address each Tab as outlined respectively in Parts III, IV, V, or VI. Although HUD staff will review your application, imagine that someone from another agency, with no housing, economic development or supportive services program knowledge, will be reading the application.
- ✓ Follow instructions on each form for completing standard Forms 424, 424-B, 2880, 2990, 2991, 2992, 50070, 50071, and LLL. These forms, located in Part VII of this application kit, must be submitted with the application.
- ✓ Make sure the preparation of the application is a collaborative effort between you and the targeted resident community. Input from the resident community is critical and *must* be included in the process.
- ✓ Make sure to arrange with your partner agency(ies) to have the MOA/MOU and other letters of support signed in ample time to meet the application deadline. Letters in support of an application received *after* the deadline date *will not* be accepted.
- ✓ Have more than one person read over your application to ensure that all required information and forms are included in the application (and copies) being submitted. Double check that every applicable Tab is addressed.
- ✓ Make sure to address all Threshold Requirements and, if applicable, Rating Factors specified in the NOFA.

PART I

RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY PROGRAM

FY 1999 FUNDING

***BASIC PROGRAM
REQUIREMENTS***

ROSS FY 1999 FUNDING

ROSS BASIC PROGRAM REQUIREMENTS

THRESHOLD REQUIREMENTS

The HUD Grants Management Center (GMC) will conduct a threshold review to determine applicant eligibility. Under the threshold review, you will be rejected from the competition if you are not in compliance with the threshold requirements of the NOFA -- that is, if the standards are not met in the following ROSS funding categories:

Resident Management and Business Development (RMBD)	See NOFA, Section IV, (A), 8
Capacity Building and/or Conflict Resolution (CB/CR)	See NOFA, Section IV, (B), 7
Resident Service Delivery Models (RSDM)	See NOFA, Section V, (G)
Service Coordinators for Elderly and Persons with Disabilities (SC)	See NOFA, Section VI, (H)

Your application must comply also with the following program requirements in the NOFA:

Compliance with Civil Rights Requirements. PHAs must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a). Federally recognized Indian tribes must comply with the *Age Discrimination Act* of 1975 and the *Indian Civil Rights Act*. If you, the applicant, (a) have been charged by the Secretary with a violation of the *Fair Housing Act*, (b) are the defendant in a *Fair Housing Act* lawsuit filed by the Department of Justice, or (c) have received a letter of noncompliance findings under Title VI of the *Civil Rights Act*, Section 504 of the *Rehabilitation Act*, or Section 109 of the *Housing and Community Development Act*, then you are not eligible to apply for funding under this NOFA until you resolve such charge, lawsuit, or letter of findings to the satisfaction of HUD. (See NOFA, Section VII.)

Adhere to the Grant Agreement. After an application has been approved, HUD will enter into a grant agreement with you, which incorporates your entire application as modified by HUD, and setting forth the amount of the grant and applicable terms, conditions, financial controls, payment

mechanism (generally, HUD'S Line of Credit Control System), and special conditions. (See NOFA, Section VIII (B) for more details.)

APPLICATION SELECTION PROCESS

Resident Management and Business Development. Applicants for Resident Management and Business Development Grants are required to address application submission requirements, but are not required to address selection. Eligibility will be determined by applications that meet the threshold requirements of this NOFA.

HUD will accept for funding the first five eligible applications from each of the ten federal regions and from ONAP National Program in Denver (ONAP) on a first-come, first-serve basis for 60 days after this NOFA is published. Any funds remaining after making awards to the first five eligible applications from each region and ONAP will be awarded to the next eligible application from each region or ONAP, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from each region, the eligible applications will then be funded in the order in which they were received regardless of region.

If sufficient funds are not available in any round to fund an eligible application from ONAP, or if funds remain available after funding every eligible ONAP application, the remaining funds are transferable to other funding categories in this NOFA in the following order: first, to qualifying applications from Tribes/TDHEs for Resident Service Delivery Model grants; second to qualifying applications from Tribes/TDHEs for Resident Capacity Building and/or Conflict Resolution grants; third, to qualifying applications for Resident Management and Business Development grants from applicants that are not Tribes/TDHEs.

In addition, if all funds are not awarded in this funding category to eligible regional applications received within 60 days after this NOFA is published, funds are transferable to other non-Tribe/THDE funding categories in this NOFA in the following order: first, service coordinators; second, Resident Capacity Building and/or Conflict Resolution; third, Resident Service Delivery Models.

Capacity Building and/or Conflict Resolution. Applicants for the Conflict Resolution or Capacity Building grants are required to address application submission requirements but are not required to address selection factors. Applicants are required to include letters of support from the PHA, or Tribe/TDHE on behalf of RAs or Tribal ROs and RMCs to be served.

Eligibility will be determined by applications that meet the threshold requirements. HUD will accept for funding the first two eligible applications from

each of the ten federal regions and from ONAP National Program Office in Denver on a first-come, first-serve basis for 60 days after this NOFA is published.

Any funds remaining after making awards to the first two eligible applications from each region or ONAP will be awarded to the next eligible application from each region or ONAP, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from ONAP, or if funds remain available after funding every eligible ONAP application, the remaining funds are transferable to other funding categories in the following order: first, to qualifying applications from Tribes/TDHEs for Resident Service Delivery Models; second to qualifying applications from Tribes/TDHEs for Resident Management and Business Development; and third, to qualifying applications for Resident Capacity Building or Conflict Resolution.

In addition, if all funds are not awarded in this funding category to eligible applications received within 60 days after this NOFA is published, funds are transferable to other non-Tribe/TDHE funding categories in this NOFA in the following order: first, Service Coordinators; second, Resident Management and Business Development; third, Resident Service Delivery Models.

Resident Service Delivery Models. All applications are due no later than **90 days** from the publication date of this NOFA. Three types of reviews will be conducted: a screening to determine if the application submission is complete and on time; a threshold review to determine applicant eligibility; and a technical review to rate the applications based on five rating factors listed in the NOFA. A minimum score of **55** is required to be considered for funding.

HUD will conduct the selection process as follows for applicants other than tribes: HUD will first select the highest ranked application from each of the ten Federal regions for funding. After this “round,” HUD will select the second highest ranked application in each of the ten Federal regions for funding (the second round). HUD will continue this process with the third, fourth, and so on, highest ranked applications in each Federal region until the last complete round is selected for funding. If available funds exist to fund some but not all eligible applications in the next round, HUD will make awards to those remaining applications in rank order regardless of region and will fully fund as many as possible with remaining funds.

In addition, if all funds are not awarded in this funding category, funds are transferable to other funding categories in this NOFA in the following order: first, service coordinators; second, Resident Management and Business Development; third, Resident Capacity Building and/or Conflict Resolution.

The selection process is designed to achieve both geographic diversity and a more equitable distribution of grant awards throughout the country.

After rating and ranking, HUD will fund Tribes/TDHEs in rank order until all funds allocated for Tribes/TDHEs have been awarded to the extent that there are eligible applications. Any remaining funds will be transferable to other funding categories in this NOFA in the following order: first, to qualifying applications from Tribes/TDHEs for Resident Management and Business Development grants; second to qualifying applications from Tribes/TDHEs for Resident Capacity Building and/or Conflict Resolution; third, to qualifying applications for Resident Service Delivery Model grants from applicants that are not Tribes/TDHEs.

Service Coordinators. Applicants are required to address application submission requirements, but are not required to address selection factors for Elderly Service Coordinator Grants. PHAs must meet the application and threshold requirements set forth in this NOFA, and submit all of the required information. The applicants identified by the GMC as meeting threshold and application requirements will be funded on a first-come, first-serve basis for up to 30 days from the publication date of this NOFA or until funds are exhausted.

ELIGIBLE APPLICANTS

Resident Management and Business Development

- Site-Based Resident Associations (RAs), Tribes and TDHEs that partner with Tribal Resident Organizations or Tribal Resident Management Corporations, and City-Wide Resident Organizations (CWROs).
- If an RA is a beneficiary or recipient of a proposed grant activity by a CWRO, the RA cannot also apply under this category.
- Previous TOP grantees must demonstrate that they have spent at least 75% of any prior grant by the publication date of this NOFA. Applications from a Tribe or TDHE must include a Memorandum of Understanding.

Capacity Building and/or Conflict Resolution

- Intermediary Resident Organizations (IROs) on behalf of public and Indian housing residents, which include Public and Indian Housing Site-Based Resident Councils, Resident Management Corporations, and Tribes or TDHEs on behalf of tribal residents and tribal RAs, may apply for Capacity Building and/or Conflict Resolution grants. IROs include National Resident Organizations, Statewide Resident Organizations, Regional Resident Organizations, City-Wide Resident Organizations (CWRO), and Jurisdiction-Wide Resident Organizations.

- Non-profits that operate as associations and/or networks that administer programs that benefit public, assisted, and Indian housing resident organizations are also eligible for this funding category.
- An applicant that is not a CWRO must serve a minimum of 10 RAs.
- Previous TOP grantees must demonstrate that they have spent at least 75% of any prior grant by the publication date of this NOFA.

Resident Service Delivery Models

- Family grants – PHAs or Tribes/TDHEs on behalf of public and Indian housing residents, or directly to resident management corporations, resident councils, or resident organizations, including nonprofit entities supported by residents.
- Elderly Disabled grants – PHAs only.
- Previous Economic Development and Supportive Services (EDSS), TOP, or Service Coordinator grantees must demonstrate that they have spent at least 75% of any prior grant by the publication date of this NOFA.

Service Coordinator for Elderly and Persons with Disabilities

- This funding category provides grants to PHAs with developments designated for the elderly and persons with disabilities.
- A PHA may not apply for elderly and disabled service coordinator funding if it has an expiring elderly Service Coordinator or EDSS grant and has spent less than 75% of the prior grant by the publication date of the NOFA.

Please Note: Indian Tribes, their Tribally Designated Housing Entities (TDHEs), or resident organizations are eligible in various funding categories. However, application kit language may, at times, refer generically to applicants or PHAs as a substitute for naming all eligible applicants.

GRANT AMOUNT

Resident Management and Business Development

Total Available: \$6.0 million, of which \$500,000 is for Tribes/TDHEs that partner with tribal RAs

Maximum Grant Award: \$100,000 per applicant

Capacity Building and/or Conflict Resolution

Total Available: \$5.0 million, of which \$400,000 is for applications from Indian Tribes or TDHEs

Maximum Grant Award: \$15,000 per RA represented, up to the following maximums:

City-Wide Resident Organizations (CWROs), and Tribes or TDHEs - \$105,000

All other applicants - \$240,000 per applicant. An applicant that is not a CWRO, an Indian Tribes, or a TDHE is required to serve a minimum of 10 RAs.

Resident Service Delivery Models

Total Available: \$40.6 million, of which \$2.0 million is available for Tribes/TDHEs.

Maximum Family Grant Award:

For PHAs/Tribes/TDHEs with 1 to 780 occupied family units, the maximum grant award is \$75,000.

For PHAs/Tribes/TDHEs with 781 to 7,300 occupied family units, the maximum grant award is \$250,000.

For PHAs/Tribes/TDHEs with 7,301 or more occupied family units, the maximum grant award is \$500,000.

Maximum Elderly/Disabled Grant Awards:

For 1 to 217 units occupied by elderly residents or persons with disabilities, the maximum grant award is \$27,125.

For 218 to 1,155 units occupied by elderly residents or persons with disabilities, the maximum grant award is \$100,000.

For 1,156 or more units occupied by elderly residents or persons with disabilities, the maximum grant award is \$150,000.

Note: Tribes/TDHEs should use the number of units counted as Formula Current Assisted Stock for Fiscal Year 1998 as defined in 24 CFR 1000.316. Tribes who

have not previously received funds from the Department under the 1937 Act should count housing units under management that are owned and operated by the Tribe and are identified in their housing inventory as of September 30, 1997.

The maximum grant award for RAs is \$75,000.

Nonprofit entities supported by residents or RAs are limited to \$75,000 for each RA. Non profit entities supported by residents may be awarded **no more than three** awards for different RAs.

Service Coordinators for Elderly and Persons with Disabilities

Total Available: \$15 million

Maximum Grant Award: Award amounts cannot be higher than the applicant's highest funding and staffing for any one-year period level that was approved for their last funded Service Coordinator grant. An increase of up to 2% over this amount will be allowed if supported by narrative justification.

NUMBER OF APPLICATIONS PERMITTED

Each applicant may submit **no more than one** application, **in one category**, under this NOFA. The **only exception** is that applicants for Service Coordinator Renewal grants may also apply in one additional funding category. The five categories, other than Service Coordinator Renewal grants, are:

- Resident Management and Business Development
- Capacity Building
- Conflict Resolution
- Resident Service Delivery Models-Family
- Resident Service Delivery Models-Elderly/Disabled

Further, to avoid funding duplication, there may be **no more than one** application **per PHA development** (i.e., a PHA and one of its RAs may not both successfully submit an application for a Resident Service Delivery Models-Family grant to serve the same development).

ELIGIBLE PARTICIPANTS

At least 75% of the persons participating and receiving benefits from RMBD and RSDM activities must be residents of conventional public and tribal housing. For applications that are not from a Tribe or TDHE, any other persons (up to 25% per grantee) participating or receiving benefits from these programs must be recipients of Section 8 assistance.

To be served by a Service Coordinator, a public housing development must have elderly residents and/or non-elderly residents with disabilities who together total at least 25% of the building's residents.

RMBD and RSDM Family applicants must provide evidence that at least 51% of those served by the activities are households affected by welfare reform.

ELIGIBLE ACTIVITIES

Resident Management and Business Development	<i>See NOFA Section IV, (A), (5)</i>
Capacity Building and/or Conflict Resolution	<i>See NOFA Section IV, (B), (4)</i>
Resident Service Delivery Models	<i>See NOFA Section V, (E)</i>
Service Coordinator for Elderly and Persons with Disabilities	<i>See NOFA Section VI, (E)</i>

GRANT TERM

The term of your ROSS grant (except Service Coordinators) will be for 36 months from execution of the grant agreement. The term of your Service Coordinator grant will be 12 months from the execution of the grant agreement.

ADMINISTRATIVE

Administrative costs may not exceed 20% of total grant costs.

ASSEMBLING YOUR APPLICATION

This application kit provides the basic tools needed for preparing a complete grant application. Please use the items in Part II of this application kit as cover materials for your application. Part III (Resident Management and Business Development), Part IV Capacity Building and/or Conflict Resolution, Part V (Resident Service Delivery Models), and Part VI (Service Coordinators) contain all other tab cover sheets and threshold and application submission requirements. Other blank certifications and assurances (which should be placed in the final tab of any ROSS application) can be found in Part VII of this application kit.

PART II

RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY

FY 1999 FUNDING

COVER MATERIALS

RESIDENT OPPORTUNITIES AND SELF SUFFICIENCY PROGRAM

APPLICATION FOR FY 1999 FUNDING COVER SHEET

Funding Category (Check only ONE):

- ☐ Resident Management and Business Development
- ☐ Capacity Building
- ☐ Conflict Resolution
- ☐ Resident Service Delivery Models – Family
- ☐ Resident Service Delivery Models – Elderly/Disabled
- ☐ Service Coordinators

**Submitted
By:**

(Applicant Name)

**Contact
Person:**

Telephone: () _____

Delivered To:

(HUD Field Office)

Date:

PLEASE USE THIS PAGE AS COVER PAGE

Application for Federal Assistance

OMB Approval No. 0348-0043

		2. Date Submitted	Applicant Identifier
1. Type of Submission Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. Date Received by State	State Application Identifier
		4. Date Received by Federal Agency	Federal Identifier
5. Applicant Information			
Legal Name		Organizational Unit	
Address (give city, county, State, and zip code)		Name, telephone number, and facsimile number of the person to be contacted on matters involving this application (give area codes)	
6. Employer Identification Number (EIN) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		7. Type of Applicant (enter appropriate letter in box) <div style="border: 1px solid black; width: 30px; height: 30px; display: inline-block; vertical-align: middle;"></div> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Non-profit O. Public Housing Agency P. Other (Specify)	
8. Type of Application <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block; vertical-align: middle;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block; vertical-align: middle;"></div> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify)		9. Name of Federal Agency	
10. Catalog of Federal Domestic Assistance Number <div style="border: 1px solid black; height: 20px; width: 100%;"></div> Title		11. Descriptive Title of Applicant's Project	
12. Areas Affected by Project (cities, counties, States, etc.)			
13. Proposed Project		14. Congressional Districts of	
Start Date	Ending Date	a. Applicant	b. Project
15. Estimated Funding Use form HUD-424-M (Matrix)		16. Is Application Subject to Review by State Executive Order 12372 Process?	
a. Federal	\$.00	a. Yes This preapplication/application was made available to the State Executive Order 12372 Process for review on Date: _____	
b. Applicant	\$.00	b. No <input type="checkbox"/> Program is not covered by E.O. 12372	
c. State	\$.00	or <input type="checkbox"/> Program has not been selected by State for review.	
d. Local	\$.00	17. Is the Applicant Delinquent on Any Federal Debt?	
e. Other	\$.00	<input type="checkbox"/> Yes If "Yes," explain below or attach an explanation <input type="checkbox"/> No	
f. Program Income	\$.00		
g. Total	\$.00		
18. To the best of my knowledge and belief, all data in this application/preapplication are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.			
a. Typed Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item	Entry	Item	Entry
1.	Self-explanatory.	12.	List only the largest political entities affected (e.g., State, counties, cities).
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	13.	Self-explanatory.
3.	State use only (if applicable).	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
7.	Enter the appropriate letter in the space provided.	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: <ul style="list-style-type: none">– "New" means a new assistance award.– "Continuation" means an extension for an additional funding budget period for a project with a projected completion date.– "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.		
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.		

Budget Information — Non-Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

Section B - Budget Categories					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. Totals (sum of 6i and 6j)					
7. Program Income	\$	\$	\$	\$	\$

Section C - Non-Federal Resources				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. Total (sum of lines 8 - 11)	\$	\$	\$	\$

Section D - Forcasted Cash Needs					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. Total (sum of lines 13 and 14)	\$	\$	\$	\$	\$

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project				
(a) Grant Program	Future Funding Periods (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. Total (sum of lines 16-19)	\$	\$	\$	\$

Section F - Other Budget Information	
21. Direct Charges	22. Indirect Charges
23. Remarks	

Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program **requiring** budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in **Column** (a) and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.

ROSS FY 1999 FUNDING

FACT SHEET

Applicant Information

Applicant: _____

Applicant Type: _____PHA _____RA _____IRO _____NONPROFIT
 _____Tribe/THDE

HUD Region: _____ State: _____ HUD Field/ONAP Office: _____

Contact

Name/Title _____

Street Address _____

City/State/Zip _____

Telephone No. () _____

Fax No. () _____

Assistance for which the applicant is applying:

- _____ Resident Management and Business Development
- _____ Capacity Building
- _____ Conflict Resolution
- _____ Resident Service Delivery Models - Family
- _____ Resident Service Delivery Models - Elderly/Disabled

Budget Information

Please use the page appropriate to your program. Please check the budget line items you intend to fund. Put N/A for "Not Applicable" on all others in your program area.

ROSS FY 1999 FUNDING

FACT SHEET (continued)

Resident Management and Business Development

_____ 1010	Physical Improvements
_____ 1020	Resident Business Development
_____ 1021	Develop Business Plan
_____ 1022	Conduct Market Analysis
_____ 1023	Licensing, Insurance Bonding
_____ 1024	Training Related to Resident Owned Business
_____ 1025	Establishment of Resident Managed Business Development
_____ 1026	Technical Assistance
_____ 1030	Resident Organization Development Activities
_____ 1031	Organize Community
_____ 1032	Operating Procedures
_____ 1033	Develop MOU
_____ 1034	Develop Plan for Technical Assistance
_____ 1035	Consultant Contracts
_____ 1036	Self Sufficiency Programs
_____ 1040	Resident Management
_____ 1041	Conduct Feasibility Study
_____ 1042	Secure Training/Skills/Expertise
_____ 1043	Develop MOU
_____ 1044	Secure T/A to Draft Contract
_____ 1045	Negotiate Contract with PHA
_____ 1046	Conduct Resident Training/Preparation
_____ 1050	Self Sufficiency Program
_____ 1051	Employment and Job Readiness
_____ 1052	Job Training
_____ 1053	Management Related Employment Training
_____ 1054	Vocational Training
_____ 1055	Technical Assistance
_____ 1060	Supportive Services
_____ 9100	Travel Costs
_____ 9200	Other Resident Costs (Stipends, Reimbursements)
_____ 9300	Contract Administrator
_____ 9400	Administrative and Other Costs

ROSS FY 1999 FUNDING

FACT SHEET (continued)

RESIDENT SERVICE DELIVERY MODELS

_____ 2005	Program Coordinator
_____ 2010	Physical Improvements
_____ 2020	Entrepreneur Business Development
_____ 2021	Establishing A Revolving Loan Fund
_____ 2022	Developing a Credit Union
_____ 2030	Business Development
_____ 2031	Develop Business Plan
_____ 2032	Conduct Market Analysis
_____ 2033	Secure Licensing, Insurance, Bonding
_____ 2034	Training Related to Resident Owned Business
_____ 2035	Establishment of Resident Managed Business Development
_____ 2040	Resident Organization Development Activities
_____ 2041	Organize Community
_____ 2042	Operating Procedures
_____ 2043	Develop MOU
_____ 2044	Develop Plan for Technical Assistance
_____ 2045	Consultant Contracts
_____ 2046	Self Sufficiency Programs
_____ 2050	Resident Management
_____ 2051	Conduct Feasibility Study
_____ 2052	Secure Training/Skills/Expertise
_____ 2053	Develop MOU
_____ 2054	Consultant
_____ 2055	Secure T/A to Draft Contract
_____ 2056	Negotiate Contract with PHA
_____ 2057	Conduct Resident Training Preparation
_____ 2060	Self Sufficiency Program
_____ 2061	Program Coordinator
_____ 2062	Physical Improvements
_____ 2063	Employment and Job Readiness
_____ 2064	Job Training
_____ 2065	Management Related Employment Training
_____ 2066	Vocational Training

_____ 2067	Technical Assistance
_____ 2070	Family Supportive Services
_____ 2870	Elderly Supportive Services
_____ 9100	Travel Costs
_____ 9200	Other Resident Costs (Stipends, Reimbursements)
_____ 9300	Contract Administrator
_____ 9400	Administrative and Other Costs

ROSS FY 1999 FUNDING
***FACT SHEET* (continued)**

Capacity Building

_____ 3000	Capacity Building Activities
_____ 3010	Training
_____ 3011	Consultants
_____ 3012	Other
_____ 9100	Travel Costs
_____ 9400	Administrative Costs

Conflict Resolution

_____ 4000	Mediation Activities
_____ 4010	Establishment of Violence Free Zones
_____ 4011	Youth Services Activities
_____ 4012	Resident/PHA Issues
_____ 4013	Development of Materials
_____ 4014	Training for Mediation/Reconciliation
_____ 4015	Technical Assistance to RAs
_____ 9100	Travel Costs
_____ 9400	Administrative Costs

ROSS FY 1999 FUNDING
***FACT SHEET* (continued)**

Elderly Service Coordinators

_____ 9810	Administrative Costs
_____ 9820	Other Program Expenses
_____ 9830	Training
_____ 9840	Salaries
_____ 9850	Fringe

SITE-BASED RESIDENT ASSOCIATION BOARD INFORMATION

Name of Board Member	Title	Appointment Date	Term

Date of Last Board Election: _____

Does the organization have block captains? Yes_____ No_____

Does the organization have an operating committee? Yes_____ No_____

FACT SHEET (continued)[illegible]

ROSS FY 1999 FUNDING

PROGRAM SUMMARY

Applicant: _____ **Date:** _____

Applicant type: _____PHA _____RA _____IRO _____NONPROFIT
_____TRIBE/TDHE

Funding Category: _____

This narrative will be used for congressional notification and will serve as the official program summary.

A. Please provide a brief summary of the program proposed in your application (100 words or less) including a brief description of key program components.

ROSS FY 1999 FUNDING

PROGRAM SUMMARY (continued)

B. Please provide a listing of all partners involved, their in-kind/cash contribution, and number of persons to be served by each partner using the format below. (You may copy this page if additional space is needed.)

Partner's Name	In-Kind/Cash Contribution	# Persons Served
_____	_____	_____

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
_____	_____	_____

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
_____	_____	_____

Partner's Address

Partner's Name	In-Kind/Cash Contribution	# Persons Served
_____	_____	_____

Partner's Address

TOTAL	_____	_____
-------	-------	-------

ROSS FY 1999 FUNDING

PART III

RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

ROSS FY 1999 FUNDING

PART IV

CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

ROSS FY 1999 FUNDING CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

OVERVIEW

PROGRAM DESCRIPTION

These grants are available for two types of awards:

Capacity Building Grants (CB) are available to provide technical assistance and training activities to establish and strengthen organizational capacity for site-based resident associations that do not have the capacity to administer welfare-to-work and other programs, work with PHAs and Indian Tribes, or conduct management activities. Capacity Building Grants will be targeted to help establish new site-based resident organizations or enhance the capacity of existing organizations to assist residents, participate in Housing Agency decision making, manage all or a portion of their housing development, and develop skills and expertise needed to administer grants.

Conflict Resolution Grants (CR) are available to secure the services of professional mediators to resolve conflicts involving public and Indian housing residents and/or Site-Based Resident Associations. For Conflict Resolution Grants, a skilled mediator or partner, under the auspices of an applicant, will bridge impasses between residents and/or factions within specific developments, among active participants of a Site-Based Resident Association (RA), or between an RA and its partners, especially local Housing Agencies. The applicant must apply in partnership with a recognized professional mediation organization. All mediators must have entered into at least one referral agreement with judicial, law enforcement, or social services agencies to mediate for public and Indian housing residents, served by the agency.

ELIGIBLE APPLICANTS

- Intermediary Resident Organizations (IROs) on behalf of public and Indian housing residents, which include Public and Indian Housing Site-Based Resident Councils, Resident Management Corporations, and Tribes or TDHEs on behalf of tribal residents and tribal RAs, may apply for Capacity Building and/or Conflict Resolution grants. IROs include National Resident Organizations, Statewide Resident Organizations, Regional Resident Organizations, City-Wide Resident Organizations (CWRO), and Jurisdiction-Wide Resident Organizations.
- Non-profits that operate as associations and/or networks that administer programs that benefit public, assisted, and Indian housing resident organizations are also eligible for this funding category.
- An applicant that is not a CWRO must serve a minimum of 10 RAs.
- Previous TOP grantees must demonstrate that they have spent at least 75% of any prior grant by the publication date of this NOFA.

ROSS FY 1999 FUNDING CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

ELIGIBLE ACTIVITIES

Capacity Building. Eligible activities for CB grants may include, but are not limited to:

- Training Board members in community organizing, Board development, and leadership training;
- Determining the feasibility of and training existing resident groups for resident management or for a specific resident management project;
- Assisting in the creation of an RMC, such as consulting and legal assistance to incorporate, preparing by-laws and drafting a corporate charter;
- Developing the management capabilities of existing resident organizations;
- Determining the feasibility of homeownership by residents, including assessing the feasibility of other housing (including HUD-owned or held single or multi-family) affordable.

Conflict Resolution. Conflict resolution grant activities may include, but are not limited to:

- Efforts to address conflicts related to gang violence;
- Establishing violence-free zones to enhance the quality of living environment for public and Indian housing residents;
- Training programs on mediation and communication skills;
- Training programs on dispute resolution and reconciliation, including training addressing racial, ethnic and other forms of diversity;
- Workshops for youth services including: child abuse and neglect prevention, tutorial services, youth leadership skills, youth mentoring, peer pressure reversal, life skills, goal planning, health, and nutrition. The workshops may be held in partnership with community-based organizations such as local Boys and Girls Clubs, YMCA/YWCA, Boy/Girl Scouts, Campfire and Big Brother/Big Sisters, etc.
- Training in the development of strategies to successfully implement a youth program. For example, assessing the needs and problems of youth, improving youth initiatives that are currently active, and training youth, housing agency staff, resident management corporations and resident councils on youth initiatives and program activities.

ROSS FY 1999 FUNDING CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

APPLICATION SELECTION PROCESS

Applicants for the Conflict Resolution or Capacity Building grants are required to address application submission requirements but are not required to address selection factors. Applicants are required to include letters of support from the PHA, or Tribe/TDHE on behalf of RAs or Tribal ROs and RMCs to be served.

Eligibility will be determined by applications that meet the threshold requirements. HUD will accept for funding the first two eligible applications from each of the ten federal regions and from ONAP National Program Office in Denver on a first-come, first-serve basis for 60 days after this NOFA is published.

Any funds remaining after making awards to the first two eligible applications from each region or ONAP will be awarded to the next eligible application from each region or ONAP, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from ONAP, or if funds remain available after funding every eligible ONAP application, the remaining funds are transferable to other funding categories in the following order: first, to qualifying applications from Tribes/TDHEs for Resident Service Delivery Models; second to qualifying applications from Tribes/TDHEs for Resident Management and Business Development; and third, to qualifying applications for Resident Capacity Building or Conflict Resolution.

In addition, if all funds are not awarded in this funding category to eligible applications received within 60 days after this NOFA is published, funds are transferable to other non-Tribe/TDHE funding categories in this NOFA in the following order: first, Service Coordinators; second, Resident Management and Business Development; third, Resident Service Delivery Models.

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

Applicant: _____ **Date:** _____

APPLICATION CHECKLIST

Your application is complete when you have the following:

- ☐ **Cover Materials (See Part II of this application kit for forms in this tab.)**
Table of Contents/Checklist
 - ☐ Table of Contents
 - ☐ Application Checklist
 - ☐ Application for Federal Assistance (Form SF-424)
 - ☐ Budget Information —Non-Construction Programs (Form SF-424A)
 - ☐ Fact Sheet
 - ☐ Program Summary

- ☐ **TAB I**
Threshold Requirements
 - ☐ Threshold Checklist
 - ☐ Written Agreement With Mediator (Conflict Resolution only)
 - ☐ Mediation Experience Certification (Conflict Resolution only)
 - ☐ Applicant Nonprofit Status
 - ☐ Compliance with Current Programs
 - ☐ Match Requirements
 - ☐ List of RAs Receiving Support
 - ☐ Compliance with Civil Rights Requirements Certification

- ☐ **TAB 2**
Program Description and Budget
 - ☐ Needs Assessment Report

ROSS FUNDING FY 1999 FUNDING CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

APPLICATION CHECK LIST (Continued)

Tab 2 (Continued)

- ☐ Chart A: Activity Plan Summary
- ☐ Chart B: CB/CR Activity Breakout
- ☐ Chart C: Program Resources
- ☐ Chart D: Detailed Budget
- ☐ Chart E: Program Staffing
- ☐ Staff Position Descriptions
- ☐ Resumes
- ☐ Chart F: Applicant Track Record



TAB 3

Other Certifications and Assurances (See Part VII of this Application Kit for all forms in this tab.)

- ☐ Assurances – Non-Construction Programs (Form SF-424B)
- ☐ Certification for a Drug-Free Workplace (Form HUD–50070)
- ☐ Applicant/Recipient Disclosure/Update Report (Form HUD-2800)
- ☐ Applicant’s Disclosure on Lobbying Activities
- ☐ Disclosure of Lobbying Activities (Form SF- LLL)
- ☐ Certification of Payments to Influence Federal Transactions (Form HUD-50071)
- ☐ Certification or Disbarment and Suspension (Form HUD–2992)
- ☐ Acknowledgement of Application Receipt

ROSS FY 1999 FUNDING

CAPACITY BUILDING AND/OR
CONFLICT RESOLUTION

TAB 1

THRESHOLD REQUIREMENTS

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

THRESHOLD CHECKLIST

Applicant:_____ **Date:**_____

You must address the following threshold requirements for your application to be complete and acceptable for rating and ranking. You can verify that information is included in your application kit by using a check mark in the space provided. Please note that HUD will also verify that information is included appropriately. (See NOFA, Section IV(B)(7) and VII)

THRESHOLD REQUIREMENT	APPLICANT USE ONLY	HUD USE USE ONLY
1. Written Agreement with Mediator (Conflict Resolution only)	_____	_____
2. Mediation Experiences (Conflict Resolution only)	_____	_____
3. Applicant Nonprofit Status (RA and Non-profit Applicants only)	_____	_____
4. Compliance with Current Programs	_____	_____
5. Match Requirements	_____	_____
6. List of RAs to Receive Training, Technical Assistance or Supportive Services	_____	_____
7. Compliance with Civil Rights Requirements	_____	_____

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

Applicant:_____ **Date:**_____

Threshold Requirements

See NOFA, Section IV, B, (7)

1. Written Agreement with Mediator. Conflict Resolution applicants **only** must have a written agreement with a professional mediator or mediation organization (mediator/partner) outlining the roles and responsibilities of each party, as well as any compensation to the mediator/partner (which must be reasonable and based on the work to be performed) defined. The written agreement must specify, consistent with the work plan, that the mediator/partner will train grantee staff and/or volunteers such that the grantee will be capable of providing mediation assistance independently by the end of the grant term.

This document is the foundation for the relationship between the applicant and mediator. The written agreement may be contingent upon an applicant receiving a grant award. It must be precise and outline specific duties to be accomplished under the grant. The agreement must be finalized, dated, and signed by duly authorized officials of the applicant and mediator organization upon submission of the application.

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

Applicant:_____ **Date:**_____

2. Mediation Experience/Referral Agreement. **Conflict Resolution applicants only** must provide evidence that its mediator/partner PHA(s) or Tribe/TDHE have at least three years of experience in providing mediation services and at least two years of experience in mediation training; and include at least one referral agreement with a judicial, law enforcement, or social service agency such as the court system or Welfare Department for mediation referral of public and Indian housing residents. The referral agreement must commit the agency to refer public and Indian housing residents who are clients of the agency to the applicant for mediation services as appropriate, and must state the circumstances under which it would make such referrals.

The Certificate of Experience follows on the next page. Please add partner agency names and signatures as necessary.

Evidence of a referral agreement shall be a signed, dated letter from a judicial, law enforcement, or social service agency such as listed above firmly committing to provide mediation referral of public and Indian housing residents. This letter should outline what services the partner will provide, over what time period, for how many residents.

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND /OR CONFLICT RESOLUTION**

CERTIFICATE OF EXPERIENCE

The Applicant _____ certifies that:

_____ All mediator/PHA/Tribe/TDHE partners have at least three years of experience in providing mediation services.

_____ All mediator/PHA/Tribe/TDHE partners have at least two years of experience in providing mediation training.

Applicant Signature	Date
---------------------	------

Partner Agency Name	Date
---------------------	------

Partner Signature

Partner Agency Name	Date
---------------------	------

Partner Signature

ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

Applicant:_____ **Date:**_____

3. Applicant Nonprofit Status. Both CB and CR applications not from Tribes or TDHEs must provide evidence that the applicant is registered with the State as a nonprofit corporation **and** has 501(c) nonprofit corporation status with the United States Internal Revenue Service at the time of application submission.

Evidence of incorporation with the State for all nonprofit applicants shall be a copy of the Certificate of Incorporation or Certificate of Good Standing from the State government (Secretary of State or Secretary of Corporations). Evidence of an applicant's current nonprofit status shall be a copy of the IRS's designation.

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

Applicant:_____ **Date:**_____

4. Compliance with Current Programs. Both CB and CR applicants must provide certification on the format provided in the application kit that the applicant and the mediation partner are not in default at the time of application submission with respect to any previous HUD funded grant programs the applicant received and that there are no unresolved Office of Inspector General findings against the applicant or mediation partner.

CB/CR APPLICANT/ADMINISTRATOR CERTIFICATION

I CERTIFY that my response to the following three questions are correct:

1. Is there any current HUD declaration of default against your organization for failure to meet any contractual obligation?
2. Are there any unresolved HUD Office of Inspector General Findings against your organization, or, if applicable, mediation partner?
YES or NO (Please circle one.) (Explain any "YES" response.)
3. Are there any unresolved HUD Fair Housing and Equal Opportunity monitoring review findings or HUD Field Office management review findings against your organization?
YES or NO (Please circle one.) (Explain any "YES" response.)

Signed this _____ day of _____, 1999

By:_____
Applicant Executive Director or other Authorized Representative

For:_____
Applicant Name

Verified by:_____ Date:_____
For GMC

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

Applicant:_____ **Date:**_____

5. Match Requirement. Both CB and CR applicants must supplement grants funds with an in-kind and/or cash match of not less than 25% of the grant amount. This match does not have to be a cash match. The match may include: the value of in-kind services, contributions or administrative costs provided to the applicant; funds from Federal sources (but not ROSS, EDSS, TOP, or SC funds); funds from any State, Tribe, or local government sources; and funds from private contributions.

Both CB and CR applications must demonstrate that the cash or in-kind resources and services, which the applicant will use as match amounts (including resources from the applicant's Comprehensive Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit), are firmly committed and will support the proposed grant activities. "Firmly committed" means there must be a written agreement to provide the resources and services, signed by an official legally able to make commitments on behalf of the organization. The written agreement may be contingent upon an applicant receiving a grant award.

Attach all separate firm commitments that equal at least 25% of the CB/CR grant amount requested.

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

Applicant:_____ **Date:**_____

6. List of RAs Receiving Support. In both CB and CR applications, eligible applicants must list in their application the name of the RAs, including tribal RAs, that will receive training, technical assistance and/or coordinated supportive services **and** must submit letters of support from each entity identified in the application.

List of Resident Associations Participating with the Intermediary Resident Organization	
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(Only Intermediary Resident Organization Applicants Need to Complete and Submit this Chart)

[illegible]

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

Applicant: _____

Date: _____

7. Compliance with Civil Rights Requirements. You must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a). Federally recognized Indian tribes must comply with the *Age Discrimination Act of 1975* and the *Indian Civil Rights Act*. If you, the applicant, (a) have been charged by the Secretary with a violation of the *Fair Housing Act*, (b) are the defendant in a *Fair Housing Act* lawsuit filed by the Department of Justice, or (c) have received a letter of noncompliance findings under Title VI of the *Civil Rights Act*, Section 504 of the *Rehabilitation Act*, or Section 109 of the *Housing and Community Development Act*, then you are not eligible to apply for funding under this NOFA until you resolve such charge, lawsuit, or letter of findings to the satisfaction of HUD. Complete the following certification. (See NOFA, Sections VII(A), VII(B), and VIII(A).)

ROSS FY 1999 FUNDING CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

CB/CR Certification of Consistency and Compliance

I CERTIFY that the proposed CB/CR activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the CB/CR application to address the furtherance of fair housing.
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, the *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, the *Equal Pay Act*, Section 504 of the *Rehabilitation Act of 1973*, the *Age Discrimination Employment Act of 1967*, and the *Age Discrimination Act of 1975*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.
6. **Administrative Requirements.** The administrative requirements of 24 CFR part 84 or part 85, as appropriate.

Signed this _____ day of _____, 1999.

By: _____
Applicant Chief Executive Officer or Other Authorized Representative

For: _____
Applicant

Verified by: _____ Date _____
For GMC

ROSS FY 1999 FUNDING

**CAPACITY BUILDING AND/OR
CONFLICT RESOLUTION**

TAB 2

PROGRAM DESCRIPTION AND BUDGET

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

Applicant Name:_____ **Date:**_____

Application Submission Requirements

In addition to addressing the application submission requirements in this NOFA, applicants for the CB and CR grants must provide a narrative description of the proposed activities that addresses the following information: a description of the geographic boundaries of the public or tribal housing RAs; a description of the public or Indian housing community; a detailed description of the issues or problems involved with each RA to be served by the grant; and the resources that are currently being devoted to the problem or issue under consideration.

Use the following needs assessment to address these requirements.

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION
NEEDS ASSESSMENT**

Please address **either** capacity building or conflict resolution according to your proposed application.

1. Describe the geographic boundaries of the proposed capacity building or conflict resolution area. Include a list of State, county, tribal, and municipal jurisdictions in the service area. Describe the area also in terms of size (e.g., square miles) and neighborhoods or other commonly used names to describe parts of the service area. Include a map if possible.
2. Provide a thorough description of the current public and Indian housing community and how it relates to the need for capacity building or conflict resolution, for example, describe human relations problems related to illegal gang activity in the community and other crimes; relations among various racial, ethnic and socio-economic groups; and relations between residents, resident leaders and community institutions such as the police, schools, and welfare department. Specific information should be provided on the relationship between the housing agency and the resident groups. Include statistical data with your discussion. Use additional pages as needed; but be concise.

ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

NEEDS ASSESSMENT (Continued)

3. Based on your response to Question 2, identify in detail problems or issues that would benefit from conflict resolution or capacity building.

4. What resources are currently available to residents in the development or provided by the housing authority or Tribe/TDHE to resolve problems (e.g., alternate conflict resolution clinics, peer counselors, informal intervention by community police)? Include the number and type of services, the location of services, and community facilities currently in use. (Exclude the courts and police arrest). **(For conflict resolution applicants only.)**

5. What resources are currently available to residents or resident organization in the development or provided by the housing authority or Tribe/TDHE to build capacity or management. Include the number and type of services, the location of services, and community facilities currently in use.

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

Applicant Name:_____ **Date:**_____

Timetable, Activity Plan Summary, and Activity Breakout

You must demonstrate that your program will make substantial progress within the first 6 months after grant execution including putting staff in place, finalizing partnership arrangements, completing the development of requests for proposals, and achieving other milestones that are prerequisites for implementation of the program. In addition you must demonstrate that your proposed timetable for all components of your proposed program is reasonable considering the size of the grant and your activities and that you can accomplish your objectives within the 36-month time limit.

Also, complete Chart A, Activity Plan Summary, and a separate Chart B, Activity Breakout, for each activity specified in Chart A. Samples are provided of both charts.

Sample Chart A
CB/CR ACTIVITY PLAN SUMMARY

Applicant Name: Ourtown IRO

Date: 8/1/99

	Phase/Activity	Start/End Date	Milestones	Participating Partner/Activity
1	Start-up Activities: Procurement procedures with trainers, outreach to resident to organizations, boards and public and Indian housing residents	11/1/99 – 1/1/00	Complete HUD procurement training. Sign contracts with 3 trainers.	Nonprofit community-based organization; local community college; housing counseling agency
2	Weekly community organizing training	2/1/00 – 6/1/00	Participate in weekly comm. organization training. Begin outreach to residents.	Nonprofit community-based organization.
3	Board development training	3/1/00 – 10/31/01	Participate in monthly sessions to improve Board capacity.	Local community college
4	Initial study of homeownership feasibility	1/1/01 – 6/31/01	Learn about homeownership opportunities, conduct resident survey and assess results.	Housing counseling agency
5	Closing activities: grant audit, grant close out and evaluation	7/1/01 – 10/31/01	Evaluate and close out grant successfully	Applicant, local community college
6				

Overall Program Objectives: Improve resident management skills of members of resident organizations.

Chart A
CB/CR ACTIVITY/PROGRAM PLAN SUMMARY

Applicant Name: _____ Date: _____

	Phase/Activity	Start/End Date	Milestones	Participating Partner/Activity
1				
2				
3				
4				
5				
6				

Overall Program Objectives: _____

SAMPLE Chart B
CB/CR ACTIVITY 3 BREAKOUT

for Phase/Activity Board Dev. Training **Applicant Name:** Ourtown IRO **Date:** 8/1/99

	ACTIVITY/TASK	START DATE END DATE	ORGANIZATIONS INVOLVED/ROLES
A	Outreach for monthly training sessions; post announcements in developments, local papers, resident organization minutes; speak at resident meetings.	3/1/00 – 10/31/01	Applicant
B	Development of areas of training for each of 18 sessions	3/1/00 – 4/1/00	Applicant Local Community College
C	Workshop on ethics	4/15/00	Applicant Local Community College
D	Workshop on strategies for motivating the board	5/15/00	Applicant Local Community College
E	Workshop on leadership skills for decision making in groups.	6/15/00	Applicant Local Community College
F	Workshop on improving effectiveness of communication	7/15/00	Applicant Local Community College

Activity Milestone: Improve resident management skills of 30 members of resident organizations.

Chart B
CB/CR ACTIVITY BREAKOUT

for Phase/Activity _____ Applicant Name: _____ Date: _____

	ACTIVITY/TASK	START DATE END DATE	ORGANIZATIONS INVOLVED/ROLES
A			
B			
C			
D			
E			
F			

Activity Milestone: _____

ROSS FY 1999 FUNDING CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

Applicant Name:_____ **Date:**_____

Program Resources and Budget

Please address your ability to secure community resources to be combined with HUD program resources to achieve your proposed CB/CR program's purposes. HUD will consider the extent to which you have partnered with other entities to secure additional resources to increase the effectiveness of your proposed program activities. Your budget must reflect leveraged resources based on firm commitments of funds or the value of personnel, facilities, equipment, or other in-kind resources. "Firmly committed" means there is a written agreement to provide the resources. The agreement may be contingent on your receiving CB/CR funding and services that must be signed by an official legally able to make commitments on behalf of the organization.

Provide detailed narrative information on the roles and responsibilities of each partner and their contribution(s). (Partners that will administer CB/CR funds should be designated "subgrantees.") Also, complete chart C, Program Resources, and a budget.

Specify the amount and type of resources and services that your partner firmly commits to contribute to your grant program, including your supplemental grant funds with a cash and/or in-kind contribution match of not less than 25% of the grant amount. In valuing volunteer time or services and donated items, use the following guidelines:

- (a) The value of volunteer time and services shall be computed at a rate of \$6.00 per hour, except that the value of volunteer time and service involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate paid for the service in the community where the CB/CR activity is located.
- (b) The value of any donated material equipment, building, or lease shall be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated. The documentation shall be not more than 1 year old and taken from the community where the item or CB/CR activity is located.

ROSS FY 1999 FUNDING CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

CHART C CB/CR Program Resources

Applicant Name: _____ **Date:** _____

Name of Provide/Partner	Activity	Type of Resource	Dollar Value of Resource	Page No. of MOU/MOA	HUD Use Only
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
Total of Provider/Partner Contributions			\$		
Requested CB/CR Grant Funds			\$		
TOTAL PROGRAM RESOURCES			\$		

Chart D: Detailed CB/CR Budget

#	ACTIVITY	BUDGET ITEM	CB/CR GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
1		CB/CR COSTS	Applicant Personnel		
			Applicant Admin & Other		
			Contractor(s)		
			Subgrantee		
		NON-CB/CR COSTS	Applicant		
			Partners:		
		TOTAL COSTS			
2		CB/CR COSTS	Applicant Personnel		
			Applicant Admin & Other		
			Contractor(s)		
			Subgrantee		
		NON-CB/CR COSTS	Applicant		
			Partners:		
		TOTAL COSTS			
3		CB/CR COSTS	Applicant Personnel		
			Applicant Admin & Other		
			Contractor(s)		
			Subgrantee		
		NON-CB/CR COSTS	Applicant		
			Partners:		
		TOTAL COSTS			

Chart D: Detailed CB/CR Budget (continued)

#	ACTIVITY	BUDGET ITEM	CB/CR GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
4		CB/CR COSTS	Applicant Personnel		
			Applicant Admin & Other		
			Contractor(s)		
			Subgrantee		
		NON-CB/CR COSTS	Applicant		
			Partners:		
		TOTAL COSTS			
5		CB/CR COSTS	Applicant Personnel		
			Applicant Admin & Other		
			Contractor(s)		
			Subgrantee		
		NON-CB/CR COSTS	Applicant		
			Partners:		
		TOTAL COSTS			
6		CB/CR COSTS	Applicant Personnel		
			Applicant Admin & Other		
			Contractor(s)		
			Subgrantee		
		NON-CB/CR COSTS	Applicant		
			Partners:		
		TOTAL COSTS			

Chart D: Detailed CB/CR Budget (continued)

#	ACTIVITY	BUDGET		CB/CR GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
		ITEM				
7		CB/CR COSTS		Applicant Personnel		
				Applicant Admin & Other		
				Contractor(s)		
				Subgrantee		
		NON-CB/CR COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
8		CB/CR COSTS		Applicant Personnel		
				Applicant Admin & Other		
				Contractor(s)		
				Subgrantee.		
		NON-CB/CR COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
9		CB/CR COSTS		Applicant Personnel		
				Applicant Admin & Other		
				Contractor(s)		
				Subgrantee		
		NON-CB/CR COSTS		Applicant		
			Partners:			
		TOTAL COSTS				

Chart D: Detailed CB/CR Budget (continued)

#	ACTIVITY	BUDGET ITEM		CB/CR GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS	
10		CB/CR COSTS		Applicant Personnel			
			Applicant Admin & Other				
			Contractor(s)				
			Subgrantee				
		NON-CB/CR COSTS		Applicant			
			Partners:				
		TOTAL COSTS					
11		CB/CR COSTS		Applicant Personnel			
			Applicant Admin & Other				
			Contractor(s)				
			Subgrantee				
		NON-CB/CR COSTS		Applicant			
			Partners:				
		#	ACTIVITY	BUDGET ITEM			CB/CR GRANT FUNDS
12		CB/CR COSTS		Applicant Personnel			
		TOTAL COSTS					
		TOTAL CB/CR BUDGET					
			BUDGET ITEM	CB/CR GRANT COST	NON CB/CR COST	TOTAL COST	
		CB/CR COSTS		Applicant Personnel			
			Applicant Admin & Other				
			Contractor(s)				
			Subgrantee(s)				
		NON-CB/CR COSTS		Applicant			
			Partners				
			TOTAL COSTS				

ROSS FY 1999 FUNDING CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

Applicant: _____ **Date:** _____

Proposed Program Staffing

Please address the extent to which your organization has the resources necessary to successfully implement your proposed activities in a timely manner.

Include a narrative description of your proposed staffing (paid or volunteer) in support of your proposed program and proposed coordination among service providers; a completed Chart E, an organization chart, staff position descriptions, and resumes. Collectively, these items should identify the following:

- 1) An explanation of how your staffing plan is structured to accomplish your program objectives;
- 2) A staff person(s) who will have primary responsibility for effective overall coordination of your program on a day to day basis and what percentage of his/her time will be committed to this responsibility;
- 3) Administrator staff persons, position descriptions, proposed roles in implementing the CB/CR program, relevant skills, and percentage of time allocated to the program;
- 4) A comprehensive break-out of who will provide training and related services and how the services will be delivered. Indicate who will conduct training: you, the Contract Administrator, a contractor, or other partner.
- 5) Your project management structure, including the use of a Contract Administrator. Describe how co-applicants, subgrantees, and other partner agencies relate to the program administrator as well as the lines of authority and accountability among all components of your proposed program.
- 6) Your fiscal management structure, including but not limited to budgeting, fiscal controls, and accounting. Clearly identify the staff responsible for fiscal management, and the processes and timetable for implementation during your proposed grant period.

Chart E: PROGRAM STAFFING

Applicant Name: _____

I. Applicant

<i>Name of Staff Person</i>	Organization and Position	Role in Grant Program	Percent of Time on Grant	Cost to Grant

II. CONTRACTOR ROLE

Type of Contractor to be Solicited	Role in Grant Program	Estimated Cost to Grant Program

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

Applicant:_____ **Date:**_____

Applicant Track Record

Instructions for Chart F

Complete the Applicant Track Record Chart in this Tab (Chart F). A sample and blank chart are located in this Tab. Include in Chart F your prior performance in successfully carrying out grant programs designed to assist resident associations in capacity building or conflict resolution skills.

SAMPLE – Chart F: CB/CR APPLICANT TRACK RECORD

Applicant: Ourtown IRO

HUD PROGRAM	PROJECT NUMBER	% OF TERM COMPLETED	% FUNDS DRAWN DOWN	MAJOR GOAL #1	% COMPLETE	MAJOR GOAL #2	% COMPLETE
Youth Apprenticeship Program	PA99YAP 002033 94	100%	75%	To enable 30 resident youth to complete community service programs.	90%	To enable 30 resident youth to complete apprenticeship training.	67%
Drug Elimination Grant	PA99DEP 00306095	90%	80%	To train resident patrols in seven developments.	71%	To implement resident patrols in seven developments.	57%

Chart F: CB/CR Applicant Track Record

Applicant: _____

Program	Project Number	% of Term Complete	% of Funds Drawn Down	Major Goal #1	Percent Complete	Major Goal #2	Percent Complete

ROSS FY 1999 FUNDING

CAPACITY BUILDING AND/OR CONFLICT RESOLUTION

TAB 3

**Other Certifications
And Assurances**

**ROSS FY 1999 FUNDING
CAPACITY BUILDING AND/OR CONFLICT RESOLUTION**

CERTIFICATIONS AND ASSURANCES

Insert in this tab the following signed forms:

- ❑ Assurances – Non-Construction Programs (Form SF-424B)
- ❑ Certification for a Drug-Free Workplace (Form HUD–50070)
- ❑ Applicant/Recipient Disclosure/Update Report (Form HUD-2800)
- ❑ Applicant's Disclosure on Lobbying Activities
- ❑ Disclosure of Lobbying Activities (Form SF- LLL)
- ❑ Certification of Payments to Influence Federal Transactions (Form HUD-50071)
- ❑ Certification or Disbarment and Suspension (Form HUD–2992)
- ❑ Acknowledgement of Application Receipt

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

OVERVIEW

PROGRAM DESCRIPTION

These grants are available to establish and strengthen organizational capacity for site-based resident associations (RAs) that do not have the capacity to administer a welfare to work program or conduct management activities.

ELIGIBLE APPLICANTS

- Site-Based Resident Associations (RAs) representing public housing residents, Tribes and TDHEs that partner with Tribal Resident Organizations or Tribal Resident Management Corporations, and City-Wide Resident Organizations (CWROs).
- If an RA is a beneficiary or recipient of a proposed grant activity by a CWRO, the RA cannot also apply under this category.
- Previous TOP grantees must demonstrate that they have spent at least 75% of any prior grant by the publication date of this NOFA.
- Applications from a Tribe must include a Memorandum of Understanding (MOU).

ELIGIBLE ACTIVITIES

- Training related to resident-owned business or cooperative development and technical assistance for job training and placement in RMC developments;
- Technical assistance and training in resident managed business development through: feasibility and market studies; development of business plans; outreach activities; and innovative financing methods including revolving loan funds and the development of credit unions; and legal advice in establishing a resident-managed business entity or cooperative
- Establishing and funding revolving loan funds;
- Training residents, as potential employees of an RMC, in skills directly related to the operation, management, maintenance and financial systems of a development;
- Training residents with respect to fair housing requirements;

- Gaining assistance in negotiating management contracts and designing a long-range planning system.
- Providing social support needs (such as self sufficiency and youth initiatives) including:
 - Feasibility studies to determine training and social services needs;
 - Training in management-related trade skills, computer skills, and similar skills;
 - Management-related employment training and counseling including job search assistance, job development assistance, job placement assistance, and follow up assistance;
 - Support services including: child care services; educational services, remedial education, literacy training, ESL instruction, assistance in attaining a GED; vocational training including computer training; health care outreach and referral services; meal services for the elderly or persons with disabilities; personal assistance to maintain hygiene/appearance for the elderly or persons with disabilities; housekeeping assistance for the elderly or persons with disabilities; transportation services; congregate services for the elderly or persons with disabilities; and case management;
 - Training for programs such as child care, early childhood development, parent involvement, volunteer services, parenting skills, before and after school programs;
 - Training programs on health, nutrition, safety and substance abuse;
 - Workshops for youth services including: child abuse and neglect prevention, tutorial services, youth leadership skills, youth mentoring, peer pressure reversal, life skills, and goal planning. The workshops could be held in partnership with community-based organizations such as local Boys and Girls Clubs, YMCA/YWCA, Boy/Girl Scouts, Campfire, and Big Brother/Big Sisters
 - Training in the development of strategies to successfully implement a youth program. For example, assessing the needs and problems of the youth, improving youth initiatives that are currently active, and training youth, housing agency staff, resident management corporations and resident councils on youth initiatives and program activities;
- Physical improvements to facilities at public housing developments in order to provide space for self-sufficiency activities for residents, i.e. to provide cosmetic improvements and repairs to space to conduct community activities; or to expand existing community space for proposed ROSS activities. Physical improvements **may not exceed 50%** of the total grant amount and must be directly related to providing space for self-sufficiency activities for residents. Refer to Office of Management and Budget (OMB) Circular A-87, Cost Principles for State, Local and Indian Tribal Governments:
 - Renovation, conversion, and repair costs may be essential parts of physical improvements. In addition, architectural, engineering, and related professional services required to prepare architectural plans or drawings, write-ups, specifications or inspections may also be part of the cost components to implement physical improvements.

- The renovation, conversion, or combination of vacant dwelling units in a PHA /Tribe/TDHE development to create common areas to accommodate the provision of supportive services is an eligible activity for physical improvement.
- The renovation of existing common areas in a PHA/Tribe/TDHE development to accommodate the provision of supportive services.
- The renovation or repair of facilities located near the premises of one or more PHA/Tribe/TDHE developments to accommodate the provision of supportive services.

APPLICATION SELECTION PROCESS

Applicants for Resident Management and Business Development Grants are required to address application submission requirements, but are not required to address selection. Eligibility will be determined by applications that meet the threshold requirements of this NOFA.

HUD will accept for funding the first five eligible applications from each of the ten federal regions and from ONAP National Program in Denver (ONAP) on a first-come, first-serve basis for 60 days after this NOFA is published. Any funds remaining after making awards to the first five eligible applications from each region and ONAP will be awarded to the next eligible application from each region or ONAP, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from each region, the eligible applications will then be funded in the order in which they were received regardless of region.

If sufficient funds are not available in any round to fund an eligible application from ONAP, or if funds remain available after funding every eligible ONAP application, the remaining funds are transferable to other funding categories in this NOFA in the following order: first, to qualifying applications from Tribes/TDHEs for Resident Service Delivery Model grants; second to qualifying applications from Tribes/TDHEs for Resident Capacity Building and/or Conflict Resolution grants; third, to qualifying applications for Resident Management and Business Development grants from applicants that are not Tribes/TDHEs.

In addition, if all funds are not awarded in this funding category to eligible regional applications received within 60 days after this NOFA is published, funds are transferable to other non-Tribe/THDE funding categories in this NOFA in the following order: first, service coordinators; second, Resident Capacity Building and/or Conflict Resolution; third, Resident Service Delivery Models.

**ROSS FY 1999 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____ **Date:** _____

APPLICATION CHECKLIST

Your application is complete when you have the following:

- ☐ **COVER MATERIALS (See Part II of this application kit for forms in this tab.)**
 - Table of Contents/Checklist
 - ☐ Application Checklist
 - ☐ Application for Federal Assistance (Form SF-424)
 - ☐ Budget Information—Non-Construction Programs (Form SF-424A)
 - ☐ Fact Sheet
 - ☐ Program Summary
- ☐ **TAB 1**
 - Threshold Requirements
 - ☐ Threshold Checklist
 - ☐ Chart A: Resident Characteristics
 - ☐ RA/PHA Memorandum of Understanding
 - ☐ Accessible Community Facility
 - ☐ Match Agreements
 - ☐ Contract Administrator Agreement
 - ☐ Proof of Nonprofit Status
 - ☐ Certification of Resident Council Board Election
 - ☐ RMBD Applicant/Administrator Certification

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

APPLICATION CHECK LIST (Continued)

- ☐ RMBD Certification of Consistency and Compliance
- ☐ List of RAs Receiving Support
- ☐ **TAB 2**
Program Description and Budget
 - ☐ Needs Assessment Report
 - ☐ Chart B: Activity Plan Summary
 - ☐ Chart C: RMBD Activity Breakout
 - ☐ Chart D: Program Resources
 - ☐ Chart E: Detailed Budget
 - ☐ Chart F: Program Staffing
 - ☐ Staff Position Descriptions
 - ☐ Resumes
 - ☐ Chart G: Applicant/Administrator Track Record
 - ☐ Narrative for Coordination with State or Tribal Welfare Plan/Consolidated Plan/Other Activities
 - ☐ Certification of Consistency with Consolidated Plan
 - ☐ Physical Improvement Description (if applicable)
- ☐ **TAB 3**
Other Certifications and Assurances (See Section VII of this Application Kit for all forms in this tab.)
 - ☐ Assurances – Non-Construction Programs (Form SF-424B)
 - ☐ Certification for a Drug-Free Workplace (Form HUD–50070)

- ❑ Applicant/Recipient Disclosure/Update Report (Form HUD-2800)
- ❑ Applicant's Disclosure on Lobbying Activities
- ❑ Disclosure of Lobbying Activities (Form SF- LLL)
- ❑ Certification of Payments to Influence Federal Transactions (Form HUD-50071)
- ❑ Certification or Disbarment and Suspension (Form HUD-2992)
- ❑ Acknowledgement of Application Receipt

ROSS FY 1999 FUNDING

RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

TAB 1

THRESHOLD REQUIREMENTS

**ROSS FY 1999 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

THRESHOLD CHECKLIST

Applicant: _____

Date: _____

You must address the following threshold requirements for your application to be complete and acceptable for rating and ranking. You can verify that information is included in your application kit by using a check mark in the space provided. Please note that HUD will also verify that information is included appropriately. (See NOFA, Section IV (A)(8) and VII.)

THRESHOLD REQUIREMENT	APPLICANT USE ONLY	HUD USE USE ONLY
1. Focus on Residents Affected by Welfare Reform	_____	_____
2. RA/PHA Partnership	_____	_____
3. Accessible Community Facility	_____	_____
4. Match Requirements	_____	_____
5. Contract Administrator (RA applicants only)	_____	_____
6. Applicant Nonprofit Status	_____	_____
7. Certification of Elections	_____	_____
8. Compliance with Current Programs	_____	_____
9. Compliance with Civil Rights Requirements	_____	_____
10. List of RAs Receiving Support (CWRO applicants only)	_____	_____

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant: _____

Date: _____

THRESHOLD REQUIREMENTS

See NOFA, Section IV(A)(8) and VII

The Grants Management Center (GMC) will conduct a threshold review to determine your eligibility. Under the threshold review, you will be rejected from the competition if you are not in compliance with the threshold requirements.

1. Focus on Residents Affected by Welfare Reform. Your RMBD application must contain written evidence that at least 51% of residents to be included in your proposed program are affected by welfare reform legislation. This requirement is not applicable to your program if it serves the elderly or persons with disabilities.

Complete the following **Resident Characteristics Chart** for the housing development you propose to serve. Indicate whether separate charts were completed for each development or whether one chart was prepared for the developments combined.

General Instructions for the Resident Characteristics Chart

It is not required that every statistic requested in the **Resident Characteristics Chart** be provided. Nevertheless, the data provided must be sufficient to permit: (1) an assessment of the needs of eligible potential participants related to your proposed program goals; and (2) development of, and documentary support for, activities that meet these needs. Charts B and C constitute a work plan to meet the needs identified in the **Resident Characteristics Chart** and the Needs Assessment Report. For RMBD applications, your data must demonstrate that at least 51% of participating residents **are** TANF recipients or affected recipients of Food Stamps and SSI. Elderly or disabled residents may be included in the 51% if: (1) their Medicaid or Food Stamp benefits are affected by welfare reform, or (2) they provide services such as child care or mentoring to families affected by welfare reform.

Complete the first column in the Resident Characteristics Chart to describe the entire resident population in the public housing or other development(s) identified in your proposed program. Break out data for TANF/AFDC families in the second column, and for Elderly/Disabled persons/families on SSI in the third column.

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

General Instructions for the Resident Characteristics Chart (continued)

Indicate **"NA"** in any answer space for data requested that is not available or not pertinent to the clientele proposed to be served. **For example**, if you propose to serve TANF/AFDC families only, you may put **"NA"** in all items under the entire column for **"Elderly/Disabled on SSI."** You are not required to conduct a survey prior to submitting your application for the sole purpose of completing the Resident Characteristics Report. If no survey information is available on a particular topic, specify the various population subgroups that you propose to serve.

If you propose to assist more than one site you may aggregate data for all sites in a single Resident Characteristics Chart under the column ***"Proposed Developments."*** Notwithstanding, if you want to highlight distinctions between sites related to need, you may want to provide a separate **Resident** Characteristics Chart for each site.

If you are providing separate Resident Characteristics Charts for each site you **must** write the name of the development for which the Resident Characteristics Chart was prepared at the top of each chart. If you are providing aggregate data for all sites you propose to assist in a single Resident Characteristics Chart, you should write the word ***"ALL"*** in the space provided.

Finally, in the last row, specify the number of persons you plan to serve in your proposed RMBD-funded program.

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant: _____

Date: _____

Chart A: RESIDENT CHARACTERISTICS IN _____ DEVELOPMENT(S) PROPOSED FOR ASSISTANCE UNDER RMBD

DEMOGRAPHIC STATISTICS SHOWING NEED

	All Residents in Proposed Development	TANF/AFDC Families Only	Elderly/Disabled on SSI Only
Total Number of Households			
Average Household Income			
Number of Children: <i>Preschool 0 - 5</i>			
<i>Grade School 6 - 12</i>			
<i>Teenagers 13 -17</i>			
TOTAL			
Number & Pct. of Households w/Children	/	/	/
Number & Pct. over 65 years	/	/	/
Number & Pct. with Disabilities	/	/	/
Number & Pct. Adults with High School Diploma/GED	/	/	/
High School Dropout Rate/Number			
Number & Pct. Heads of Household Unemployed	/	/	/
Number & Pct. Heads of Household :	/	/	/
<i>Employed Full-Time</i>			
<i>Employed Part-Time</i>			
TOTAL			
Number & Pct. Households on Welfare (TANF, SSI, etc)	/	/	/
Number/Pct. Adults in: <i>Job Training</i>	/	/	/
<i>Entrepreneurship Training</i>			
<i>Community Service Program</i>			
Number & Pct. Households with Non-Citizens Impacted by Welfare Reform	/	/	/
Other Statistical Indicators			
Number of residents to be served by RMBD grant			

In the space below, specify the source(s) of the above statistical information -- e.g., Census of Population Tract Data; housing agency's data systems based on the residents' Form HUD-50058; HUD's Multifamily Tenant Certification System; or other data source.

**ROSS FY 1999 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

2. Partnership between the Resident Association and the Housing Agency. (1) The application must contain a signed Memorandum of Understanding (MOU) between the RA and the PHA which describes the specific roles, responsibilities and activities to be undertaken between the two entities. (2) The MOU, at a minimum, must identify the principle parties (i.e. the name of the PHA and RA), the terms of the agreement (expectations of terms for each party), and indicate that the agreement pertains to the support of the RA grant application. This document is the basis for foundation of the relationship between the RA and PHA . It must be precise and outline the specific duties and objectives to be accomplished under the grant. All MOUs must be finalized, dated and signed by duly authorized officials of both the RA and PHA upon submission of the application. A sample MOU is provided.

SAMPLE RMBD MEMORANDUM OF UNDERSTANDING (MOU)

This Memorandum of Understanding, hereinafter referred to as "MOU," is made and entered into by and between the _____ Housing Authority, a governmental entity corporation, hereinafter referred to as "PHA," and the Resident Association of _____, a resident community organization, hereinafter referred to as "RA." The parties hereto agree as follows:

I. REPRESENTATIONS

WHEREAS, the RA is applying for Resident Management and Business Development (RMBD) funds from the Department of Housing and Urban Development (HUD) to further its objectives in representing the residents of _____.

WHEREAS, the RA agrees to comply with all terms and conditions expressed in HUD's Notice announcing applications for technical assistance, applicable provisions of 24 CFR 964, provisions of any technical assistance grant agreement entered into with HUD, and any other stipulations made by PHA and agreed to in writing by a duly authorized representative of these organizations pertaining to the technical assistance provided.

WHEREAS, the PHA is supporting the application of the RA for the RMBD grant and agrees to provide technical assistance to the RA in accordance with HUD's regulations.

WHEREAS, pursuant to the commitment made by the PHA, this MOU is executed outlining the type, scope and extent of the services which will be provided by the PHA to the RA if the grant is funded. If the grant is not funded, this agreement will be null and void.

Both parties herein fully understand and agree to the following roles and responsibilities:

1. The PHA will provide technical assistance in preparing Requests for Proposals to procure professional services, advertising, and/or award of contracts, advertising and selection of the vendor to award the contract, and in drafting the actual contract.
2. The PHA will render the technical assistance in compliance with the Procurement Policy, the Procurement Law, and the laws of the State and Local government.
3. The PHA will provide on-the-job training and in-kind support to the RA or related to the activities of the RMBD, if requested by the RA .

SAMPLE RMBD MOU (continued)

4. The PHA understands the goals of the RA under the RMBD and will make every effort, within the budgetary allowance and solicitation of resources and services from the community, to achieve the goals of the RA .
5. The PHA agrees to provide to the RA information on relevant training or seminars in regards to RMBD.
6. The PHA agrees to provide transportation to the RA for all meetings pertaining to RMBD.
7. The PHA agrees to promote the establishment of any resident businesses established under RMBD.
8. The PHA agrees to allow its staff persons to provide technical assistance on any issues pertaining to RMBD.
9. The PHA agrees to provide the RA with an office area and access to any necessary office equipment to conduct the affairs related to RMBD.
10. The PHA agrees to monitor all RA elections, as required by the regulations provided by HUD.
11. The PHA agrees to assist the RA in coordinating and monitoring the work of other contractors and partners who are providing program training and other assistance.
12. The RA agrees to cooperate with the PHA in improving the conditions of their community by recruiting residents on a continuous basis in relation to RMBD.
13. The RA agrees to only include public housing residents legally residing in their development(s) in implementing the RMBD Activities.
14. The RA agrees to hold fair and frequent elections for the resident organization board members, as stated in HUD's 24 CFR 964.130 (a)(1).
15. The RA has the right to conduct their own elections; however, the RA agrees to allow the PHA to monitor the election process and to act as the local arbitrator, if needed, to settle any and all disputes.
16. The RA agrees to develop and adhere to official by-laws.
17. The RA agrees to provide the PHA with a copy of its by-laws.

SAMPLE RMBD MOU (continued)

18. The RA agrees to maintain a viable resident organization representative of the residents who elected it's officers and Board of Directors, which may include receiving official recognition from the PHA and HUD to function as a RA pursuant to the HUD Regulations.
19. The RA agrees to work in a cooperative manner with PHA and HUD.
20. The RA agrees to inform residents of their rights and responsibilities to participate in economic development programs under RMBD.
21. The RA Board Members agree to monitor all administrative tasks related to the RMBD grant.
22. The RA agrees to inform and recruit public housing residents on a continuous basis, to participate in the RMBD activities.
23. The RA Board Members agree to participate in the RMBD activities.
24. The RA agrees to maintain financial control by becoming familiar with accrual basis accounting procedures to maintain good financial management along with the financial management firm.
25. The RA agrees to participate in all training provided to enhance the performance to their resident organization; such as Leadership Development, Procurement Procedures, Accounting, Computer Skills, Business Management, Marketing, etc.

WITNESS OUR HANDS EFFECTIVE _____

Resident Association

Housing Authority

RA President

Executive Director

Date

Date

**ROSS FY 1999 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

3. Accessible Community Facility. You must provide evidence **(e.g., an executed use agreement if the facility will be provided by an entity other than your organization)** that a majority of your proposed activities will be administered at community facilities within easy transportation access of your property. The facilities must be within walking distance or accessible by direct (i.e., no transfers required), convenient, inexpensive, and reliable transportation. Any community facilities must meet the structural accessibility requirements of Section 504 of the *Rehabilitation Act* and the *Americans with Disabilities Act*.

Provide a description of the location where training and other activities will be held. Describe where the facility is located in relation to the development(s) to be served, the days and hours of operation, how transportation needs to the facility will be addressed, and how the facility will be accessible to persons with disabilities. Also describe whether the facility to be used is currently in operation, if not, what steps will be taken to adequately operate the facility.

Attach an executed agreement between the applicant and other entity providing community facilities.

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant: _____

Date: _____

4. Match Requirement. You must supplement grant funds with a cash and/or in-kind contribution match of not less than at least 25% of the grant amount. The match may include; the value of in-kind services, contributions or administrative costs provided to you; funds from Federal sources (but not ROSS, TOP, EDSS, or SC funds); funds from any State, Tribal, or local Government sources; and funds from private contributions.

Your application must demonstrate that the resources and services you will use as match amounts (including resources from your Comprehensive Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit) are firmly committed and will support your proposed grant activities. "Firmly committed" means there must be a written agreement to provide the resources and services signed by an official legally able to make commitments on behalf of the organization. The written agreement may be contingent upon you receiving a grant award.

Attach all separate firm commitments that equal at least 25% of the RMBD grant amount requested.

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant: _____

Date: _____

5. Contract Administrator. For Applicants other than Tribes/TDHEs, HUD or an Independent Public Accountant has determined that the applicant's financial management system and procurement procedures fully comply with 24 CFR part 84, applicants that are resident councils, resident organizations, or resident management corporations are required to provide evidence that a Contract Administrator has been retained for the term of the grant. A Contractor Administrator must oversee the financial activities and assist with the entire implementation of the grant. A signed executed agreement must be included in the application. A sample agreement is included on the following page. This agreement may be contingent upon the applicant receiving a grant award.

The Contract Administrator may be: Local Housing Agencies (except for troubled PHAs); community-based organizations such as Community Development Corporations (CDC), churches; non-profits; State/Regional associations and organizations. If a grantee is unable to obtain the services of a Contract Administrator or accountant without charge, the cost for a Contract Administrator and or accountant is eligible. The grantee is required to maintain documentation on file showing what efforts it made to obtain the services of a Contract Administrator cost-free.

SAMPLE RMBD CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT

This partnership agreement is made and entered into by and between the Contract Administrator (CA), (e.g., the local housing authority (PHA) or other non-profit corporations), hereinafter referred to as "CA," and the Resident Association of _____(housing development), hereinafter referred to as "RA."

WHEREAS, the RA is submitting this proposal for a Resident Management and Business Development (RMBD) to further its objectives in representing the residents of _____.

WHEREAS, the RA agrees to comply with all terms and conditions expressed in HUD's NOFA, applicable provisions of 24 CFR 964, provisions of any technical assistance grant agreement entered into with HUD, and any other stipulations made by the CA and agreed to in writing by a duly authorized representative of the RA pertaining to the technical assistance provided.

WHEREAS, the CA supports the RA's RMBD application and agrees to provide technical assistance to the RA in accordance with HUD's regulations.

WHEREAS, pursuant to the commitment made by the CA, this agreement is executed outlining the type, scope and extent of services that the CA will provide to the RA if the grant is funded. If HUD does not fund the grant, this agreement shall be null and void.

Both parties herein fully understand and agree to the following:

Roles and Responsibilities

The CA agrees to oversee the administration of the RMBD grant that includes financial management, procurement, completing the semi-annual reports, and ensuring that all grant activities are completed successfully within the grant period. In meeting these commitments, the CA agrees to abide by the provisions of 24 CFR Parts 964, 45, 84 and 85 and OMB Circulars A-87 and A-122.

The CA agrees to operate under the direction of the RA. The RA retains ultimate responsibility for all grant activities, including drawing down funds from HUD, grant expenditures, and reporting to HUD. The CA will have authority to draw down funds and submit reports to HUD only with the written authorization of the RA. All checks and other expenditures in an amount higher than \$_____ must be signed and/or approved by the RA or CA.

SAMPLE RMBD CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT (continued)

The CA agrees to conduct an educational needs assessment to determine the skills of each resident selected to participate in the various training programs designed by the RA.

The CA agrees to provide training to board leaders and active members of the RA in the following areas within six months after the RA has executed an agreement with HUD:

- HUD/OMB grant requirements including but not limited to 24 CFR Part 964, 84, and 45 and OMB Circular A-122
- Board development
- Community relations
- Principles of supervision and leadership
- Communications channels and chain of command
- Principles of employee motivation and management
- Evaluation and monitoring procedures
- Management planning for business functions
- Determining support services needs
- Develop a social services provision plan
- Implement the implementation plan

Coordination of Training and Technical Assistance Services

The CA agrees to coordinate the provision of assistance from community organizations, governmental officials and other public services on a variety of related topics and available relevant resources to the residents. Following are suggested resources:

- Elected Officials
- Area Enrichment Programs
- Local Banks - Community Relations Departments
- Chamber of Commerce - Small Business Development Programs
- Community Development Agencies
- Private Industry Council
- Local and State Health and Human Services Agencies & Affiliates
- Local Higher Education and Continuing Education Facilities
- Local Independent School Districts
- Community Social Services Organizations

SAMPLE RMBD CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT (continued)

Technical Assistance may also be provided on a variety of areas including but not limited to: general bookkeeping/record keeping procedures, procurement policies; banking procedures and managing grant funds.

Evaluation

The CA agrees to coordinate, conduct or assist the residents in evaluating the RMBD activities based on the methodology in the applicant's proposal to HUD.

Contracted Amount

No funds will be paid to the CA for services rendered prior to HUD selection of the RA for RMBD funding or for services rendered prior to the execution of a grant agreement between the RA and HUD. This agreement is conditioned on HUD's selection of the RA for RMBD funding.

The contracted amount for all services defined within the context of this contract is based on a _____ period of time beginning _____ and ending _____, or \$_____ for year one of the project, and \$_____ for year two of the project with year two beginning _____. The installment payments shall be made in the amount of \$_____ to _____ upon submission of a Payment Voucher (PV) for costs incurred.

Termination

The RA may terminate this agreement within 60 calendar days of written notice to the U.S. Department of Housing and Urban Development and the CA. Termination may be based on non-compliance or non-cooperation by the CA. Termination may only occur when all channels of resolution have been exhausted, including mediation between the two parties. If all avenues have been exhausted, termination will require a two-third majority vote of the Board of Directors of the RA.

WITNESS OUR HANDS EFFECTIVE _____

Resident Association

Contract Administrator

RA President

Executive Director

Date

Date

**ROSS FY 1999 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

6. Applicant Nonprofit Status. Both RA and nonprofit applicants **only** must submit evidence that the applicant is registered with the State as a nonprofit corporation at the time of application submission. Nonprofits only must have Section 501(c) nonprofit corporation status with the United States Internal Revenue Service at the time of application submission.

Evidence of State incorporation for all RA or nonprofit applicants shall be a copy of the Certificate of Incorporation or Certificate of Good Standing from the State government (Secretary of State or Secretary of Corporations). Evidence of a nonprofit applicant's current nonprofit status shall be a copy of the IRS's designation.

**ROSS FY 1999 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

7. Certification of Elections. Resident Organization applicants **only** must submit certification of the RA board election as required by HUD, signed by the local PHA and/or an independent third-party monitor and notarized.

CERTIFICATION OF RESIDENT COUNCIL BOARD ELECTION

I CERTIFY that _____
(name of organization)

located in _____ has duly elected
(city & state)

all of the Resident Council Officers as required by the U.S. Department of Housing and Urban Development, 24 Code of Federal Regulations, Part 964.

Date of Last Resident Council Board Election: _____.

(Name and Title of Certifying Housing Agency Official)

(Signature) (Date)

(Name and Title of Independent Third-Party Monitor)

(Signature) (Date)

NOTARY (Signature & Date)

**ROSS FY 1999 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

8. Compliance with Current Programs. Be in compliance with all the requirements of any HUD grant programs designed to assist resident self-sufficiency in which you are currently participating.

**RMBD APPLICANT/ADMINISTRATOR
CERTIFICATION**

I CERTIFY that my response to the following three questions are correct:

1. Is there any current HUD declaration of default against your organization or, if applicable, Contract Administrator for failure to meet any contractual obligation?
YES or NO (Please circle one.) (Explain any "YES" response.)

2. Are there any unresolved HUD Office of Inspector General Findings against your organization, or, if applicable, Contract Administrator?
YES or NO (Please circle one.) (Explain any "YES" response.)

3. Are there any unresolved HUD Fair Housing and Equal Opportunity monitoring review findings or HUD Field Office management review findings against your organization?
YES or NO (Please circle one.) (Explain any "YES" response.)

Signed this _____ day of _____, 1999

By: _____
Applicant Executive Director or other Authorized Representative

For: _____
Applicant Name

Verified by: _____ Date _____
For GMC

**ROSS FY 1999 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

9. Compliance with Civil Rights Requirements. You must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a). Federally recognized Indian tribes must comply with the *Age Discrimination Act of 1975* and the *Indian Civil Rights Act*. If you, the applicant, (a) have been charged by the Secretary with a violation of the *Fair Housing Act*, (b) are the defendant in a *Fair Housing Act* lawsuit filed by the Department of Justice, or (c) have received a letter of noncompliance findings under Title VI of the *Civil Rights Act*, Section 504 of the *Rehabilitation Act*, or Section 109 of the *Housing and Community Development Act*, then you are not eligible to apply for funding under this NOFA until you resolve such charge, lawsuit, or letter of findings to the satisfaction of HUD. Complete the following certification. (See NOFA, Sections VII(A), VII(B), and VIII(A).)

**ROSS FY 1999 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

RMBD Certification of Consistency and Compliance

I CERTIFY that the proposed RMBD activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the RMBD application to address the furtherance of fair housing.
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, the *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, the *Equal Pay Act*, Section 504 of the *Rehabilitation Act of 1973*, the *Age Discrimination Employment Act of 1967*, and the *Age Discrimination Act of 1975*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.
6. **Administrative Requirements.** The administrative requirements of 24 CFR part 84 or part 85, as appropriate.

Signed this _____ day of _____, 1999.

By: _____
Applicant Chief Executive Officer or Other Authorized Representative

For: _____
Applicant

Verified by: _____ Date _____
For GMC

**ROSS FY 1999 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant: _____

Date: _____

10. List of RAs Receiving Support. CWRO applicants **only** must list in their application the names of the RAs that will receive training, technical assistance, and/or coordinated supportive services and must submit letters of support from each entity identified in the application.

List of Resident Associations Participating with the Intermediary Resident Organization

(Only Intermediary Resident Organization Applicants Need to Complete and Submit this Chart)

[illegible]

ROSS FY 1999 FUNDING

RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

TAB 2

PROGRAM DESCRIPTION AND BUDGET

B.

Describe: (1) various employment opportunities in the community which address the range of resident educational levels, skills, and other characteristics profiled in item B of this Needs Assessment Report and Chart A in Tab 1; (2) any training programs between 1 week and 18 months long and supportive service (such as transportation) that would be required for public housing residents and are unique to each opportunity; and (3) the extent to which each opportunity provides a stable livelihood sufficient to support families with children.

C.

Key Subpopulations.

Based on the profile of the resident population and information on job opportunities, name key segments of your resident population that need training, economic development, or supportive services for family self-sufficiency or independent living for the elderly/persons with disabilities. Describe your need briefly.

1. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:

Population:

Need:

2. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:

Population:

Need:

3. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:

Population:

Need:

4. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:

Population:

Need:

5. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:

Population:

Need:

D.

Describe how the extent and nature of these needs will be affected by welfare reform. Include in this discussion a brief summary of key provisions your State or Tribal government's welfare reform plan that are applicable to the population you intend to serve.

E.

Specify the number of persons in the following categories and identify their roles:

1. Residents in your development employed by the applicant.
2. Residents in your development employed by applicant contractors.
3. Resident-owned businesses contracting with the applicant.

Also, indicate the percentage (%) of:

- (1) Applicant employees that are residents.
- (2) Applicant contractors that are resident-owned or who employ more than one PHA/Tribe/TDHE resident.
- (3) Applicant contract dollars that go to resident-owned businesses or to businesses that employ more than one PHA/Tribe/TDHE resident.

F.

Name existing service providers on-site or near your targeted public housing development(s) that currently serve residents and contribute to meeting needs you have identified for the development. Assess the differential between what is provided and the level of need that you have identified over the next 36 months.

1. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

2. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

3. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

4. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

5. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

6. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

7. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

G.

Given the needs and resources identified, and the impact of welfare reform, summarize and prioritize unmet needs for family self-sufficiency.

Priority unmet need 1

Priority unmet need 2

Priority unmet need 3

Priority unmet need 4

Priority unmet need 5

H.

Describe the goals, objectives, and program strategies that will result in the successful transition of residents from welfare to work or increased capacity for resident management activities.

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant Name:_____ Date:_____

Timetable, Activity Plan Summary, and Activity Breakout.

You must demonstrate that your program will make substantial progress within the first 6 months after grant execution including putting staff in place, finalizing partnership arrangements, completing the development of requests for proposals, and achieving other milestones that are prerequisites for implementation of the program. In addition you must demonstrate that your proposed timetable for all components of your proposed program is reasonable considering the size of the grant and your activities and that you can accomplish your objectives within the 36-month time limit.

As noted in the NOFA (Section IV(A)(7)), your application must include a narrative description of how you will carry out and fund activities and costs such as, but not limited to: training on HUD regulations and policies, hiring trainers or other experts, and handling other appropriate administrative costs. Any costs should be included in the budget you prepare later in this tab.

Also, complete Chart B, Activity Plan Summary, and a separate Chart C, Activity Breakout, for each activity specified in Chart B. Samples are provided of both charts.

SAMPLE – Chart B RMBD ACTIVITY PLAN SUMMARY

Applicant Name: _____ Date: _____

#	PHASE/ACTIVITY	START/END DATE	MILESTONES	PARTICIPATING PARTNERS
1.	Outreach, Recruitment and Assessment	11/1/97 - 3/31/99	To recruit 100 TANF families for employment training and placement.	Resident Assn. Ourtown Comm. College
2.	Rehabilitation Community Center-	11/1/97 - 3/1/98	To render an abandoned building into a functional focus for welfare-to-work.	Resident Assn.
3.	Job Readiness and Retention Lifeskills Training-counseling, mentoring and referral to support services.	3/1/98 - 5/31/00	To address pre- and post-employment personal and family growth needs identified by 75 participants.	Family Counseling Services, Ourtown Comm Coll. and Residents Assn.
4.	Literacy Training	3/1/98 - 7/31/99	To provide 50 residents with math and verbal skills needed for successful job or business training.	Ourtown School System, Ourtown Community College
5.	Health Technician Training	5/98 – 11/99 and 8/1/98 to 5/31/00	To train 50 participants for full-time employment at family sustaining wages.	Ourtown Community College, Ourtown Hospital
6.	Entrepreneurship Training - Housing maintenance and management	5/98 – 11/99 and 8/1/98 to 5/31/00	To train 50 participants for full-time self-employment at family sustaining wages.	Private Industry Council (PIC), Dept. of Soc Service\TANF
7.	Job Placement/ Business Startup for trainees	11/1/98 - 5/1/00	To move an estimated 50 trainee graduates to full-time jobs or businesses at sustaining incomes.	PIC, Ourtown Hospital
8.	Transportation	3/1/98 - 5/31/00	To provide transportation needed to offsite training and work opportunities	Dept. of Social Services/ TANF, Ourtown Hospital
9.	Child Care	3/1/98 - 5/31/00	To address preschool (0-5 yrs) and before/after school (6- 12 yrs) child care needs of program participants.	Dept. of Social Services/ TANF, Headstart
10.	Computer Center	3/1/98 - 5/31/00	To use part of the community center as a computer center for training and other resident uses	Erol's (internet access), Local Industry Inc (com- puters, software)

Overall Program Goal: To enable 50 residents to move from welfare to full-time employment at sustaining incomes.

Chart B
RMBD ACTIVITY/PROGRAM PLAN SUMMARY

Applicant Name: _____ **Date:** _____

	Phase/Activity	Start/End Date	Milestones	Participating Partner/Activity
1				
2				
3				
4				
5				
6				

Overall Program Objectives: _____

SAMPLE – Chart C

RMBD ACTIVITY BREAKOUT FOR ACTIVITY 1 for Phase / Activity: Outreach, Recruitment, and Assessment

#	ACTIVITY/TASK	START/ END DATE	ORGANIZATIONS INVOLVED/ ROLES
A	Publicity/outreach for Welfare-to-Work Program- Production, door-to-door delivery and posting of brochures and other notices of welfare-to-work program opportunities and of upcoming informational meetings.	2 cycles 11/1/97-1/1/98 11/1/98-1/1/99	Resident Assn.
B	All Resident Meetings- Describe impact of welfare reform on resident lives, opportunities, requirements and schedule for RMBD Welfare-to-Work Program.	1/3/98-1/10/98 1/3/99-1/10/99	Resident Assn.
C	Follow-up Interviews, Resident sign-up and Housing Authority development of list of 100 program participants.	1/11/98-2/1/98 1/11/99-2/1/99	Resident Assn.
D	Assessment- Interview and assess participant interests, skills and training needs	2/98- 3/98 2/99- 3/99	Ourtown Community College, Social Work and Management Departments will assist Resident Assn.
E	Establish or coordinate with Welfare Department for individual plans for counseling/ mentoring, literacy training, job or business training, placement, day care, transportation, and any appropriate referrals.	3/98 3/99	Ourtown Community College, Social Work and Management Departments will assist Resident Assn.
F			
G			

Activity Milestone: To recruit 100 TANF families for employment training/placement

Chart C **RMBD ACTIVITY BREAKOUT**

for Phase/Activity _____ **Applicant Name:** _____ **Date:** _____

	ACTIVITY/TASK	START DATE END DATE	ORGANIZATIONS INVOLVED/ROLES
A			
B			
C			
D			
E			
F			

Activity Milestone: _____

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Applicant Name:_____ Date:_____

Program Resources and Budget

Please address your ability to secure community resources to be combined with HUD program resources to achieve your proposed RMBD program's purposes. HUD will consider the extent to which you have partnered with other entities to secure additional resources to increase the effectiveness of your proposed program activities. Your budget must reflect leveraged resources based on firm commitments of funds or the value of personnel, facilities, equipment, or other in-kind resources. "Firmly committed" means there is a written agreement to provide the resources. The agreement may be contingent on your receiving RMBD funding and services that must be signed by an official legally able to make commitments on behalf of the organization.

Provide detailed narrative information on the roles and responsibilities of each partner and their contribution(s). (Partners that will administer RMBD funds should be designated "subgrantees.") Also, complete Chart D, Program Resources, and a budget.

Specify the amount and type of resources and services that your partner firmly commits to contribute to your grant program, including your supplemental grant funds with a cash and/or in-kind contribution match of not less than 25% of the grant amount. In valuing volunteer time or services and donated items, use the following guidelines:

- (a) The value of volunteer time and services shall be computed at a rate of \$6.00 per hour, except that the value of volunteer time and service involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate paid for the service in the community where the RMBD activity is located.
- (b) The value of any donated material equipment, building, or lease shall be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated. The documentation shall be not more than 1 year old and taken from the community where the item or RMBD activity is located.

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

CHART D RMBD Program Resources

Applicant Name:_____ **Date:**_____

Name of Provider/Partner	Activity	Type of Resource	Dollar Value of Resource	Page No. of MOU/MOA	HUD Use Only
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
Total of Provider/Partner Contributions			\$		
Requested RMBD Grant Funds			\$		
TOTAL PROGRAM RESOURCES			\$		

Sample Chart E: Detailed RMBD Budget

#	ACTIVITY	BUDGET ITEM		RMBD GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
1	Start-Up – HUD training, financial training, community organizing	RMBD COSTS		Applicant Expenses	\$1,000	
			Admin & Other		\$1,000	
			Contractor(s)		\$0	
			Subgrantee.		\$0	
		NON-RMBD COSTS		Applicant	\$0	
			Partners: Ourtown CDC		\$5,000	
			TOTAL COSTS		\$2,000	
2	Outreach, Marketing and Assessment	RMBD COSTS		Applicant Expenses	\$1,000	
			Admin & Other		\$2,000	
			Contractor(s)		\$0	
			Subgrantee.		\$0	
		NON-RMBD COSTS		Housing Authority	\$10,000	
			Partners: Ourtown Comm Coll		\$20,000	
			TOTAL COSTS		\$3,000	
3	Procurement - Planning, statement of work, Competition for contractors	RMBD COSTS		Applicant Expenses	\$0	
			Admin & Other		\$1,000	
			Contractor(s)		\$0	
			Subgrantee		\$0	
		NON-RMBD COSTS		Applicant	\$0	
			Partners:		\$0	
			Ourtown State College		\$0	
		TOTAL COSTS		\$1,000	\$0	\$1,000
4	Literacy Training	RMBD COSTS		Applicant Expenses	\$3,000	
			Admin & Other		\$1,000	
			Contractor(s)		\$0	
			Subgrantee		\$0	
		NON-RMBD COSTS		Applicant	\$0	
			Partner: Ourtown Comm Coll		\$15,000	
			TOTAL COSTS		\$4,000	

Sample Chart E: Detailed RMBD Budget (continued)

5	Entrepreneurship Training- Resident Management and Maintenance	RMBD COSTS		Applicant Expenses	\$6,000		
			Admin & Other		\$2,000		
			Contractor(s)		\$24,000		
			Subgrantee		\$0		
		NON-RMBD COSTS		Applicant		\$0	
			Partner			\$0	
						\$0	
							\$0
		TOTAL COSTS			\$32,000	\$0	\$32,000
6	Closeout, Audit and Evaluation	RMBD COSTS		Applicant Expenses	\$0		
			Admin & Other		\$3,000		
			Contractor #1		\$5,000		
			Contractor #2		\$4,500		
				Ourtown State Univ. Subgrantee			
		NON-RMBD COSTS		Applicant		\$0	
				Partner: Ourtown State Univ.		\$10,000	
		TOTAL COSTS			\$12,500	\$10,000	\$22,500
		TOTAL RMBD BUDGET					
		BUDGET ITEM			RMBD GRANT COST	NON RMBDCOST	TOTAL COST
		RMBD COSTS	Applicant Expenses		\$11,000		
			Admin & Other		\$10,000		
			Contractors		\$33,500		
		Subrecipients			\$0		
		NON-RMBD COSTS		Applicant		\$0	
				Partners		\$60,000	
		TOTAL COSTS			\$0	\$0	
					\$54,500	\$60,000	

Chart E: Detailed RMBD Budget

#	ACTIVITY	BUDGET ITEM		RMBD GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
1		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RMBD COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
2		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RMBD COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
3		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RMBD COSTS		Applicant		
			Partners:			
		TOTAL COSTS				

Chart E: Detailed RMBD Budget (continued)

#	ACTIVITY	BUDGET ITEM		RMBD GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
4		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RMBD COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
5		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RMBD COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
6		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RMBD COSTS		Applicant		
			Partners:			
		TOTAL COSTS				

Chart E: Detailed RMBD Budget (continued)

#	ACTIVITY	BUDGET		RMBD GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
		ITEM				
7		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RMBD COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
8		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee.			
		NON-RMBD COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
9		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RMBD COSTS		Applicant		
			Partners:			
		TOTAL COSTS				

Chart E: Detailed RMBD Budget (continued)

#	ACTIVITY	BUDGET ITEM		RMBD GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
10		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RMBD COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
11		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RMBD COSTS		Applicant		
			Partners:			
		#	ACTIVITY	BUDGET ITEM		RMBD GRANT FUNDS
12		RMBD COSTS		Applicant Expenses		
		TOTAL COSTS				
		TOTAL RMBD BUDGET				
			BUDGET ITEM	RMBD GRANT COST	NON RMBD COST	TOTAL COST
		RMBD COSTS		Applicant Expenses		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee(s)			
		NON-RMBD COSTS		Applicant		
			Partners			
		TOTAL COSTS				

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant: _____ Date: _____

Proposed Program Staffing and Administration

Please address the extent to which your organization has the resources necessary to successfully implement your proposed activities in a timely manner.

Include a narrative description of your proposed staffing (paid or volunteer) in support of your proposed program and proposed coordination among service providers; a completed Chart F, an organization chart, staff position descriptions, and resumes. Collectively, these items should identify the following:

- 1) An explanation of how your staffing plan is structured to accomplish your program objectives;
- 2) A staff person(s) who will have primary responsibility for effective overall coordination of your program on a day to day basis and what percentage of his/her time will be committed to this responsibility;
- 3) Administrator staff persons, position descriptions, proposed roles in implementing the RMBD program, relevant skills, and percentage of time allocated to the program;
- 4) A comprehensive break-out of who will provide training and related services and how the services will be delivered. Indicate who will conduct training: you, the Contract Administrator, a contractor, another applicant, or other partner.
- 5) Your project management structure, including the use of a Contract Administrator. Describe how co-applicants, subgrantees, and other partner agencies relate to the program administrator as well as the lines of authority and accountability among all components of your proposed program.
- 6) Your fiscal management structure, including but not limited to budgeting, fiscal controls, and accounting. Clearly identify the staff responsible for fiscal management, and the processes and timetable for implementation during your proposed grant period.

Chart F: PROGRAM STAFFING **Applicant Name:** _____

I. Applicant/Contract Administrator

Name of Staff Person	Organization and Position	Role in Grant Program	Percent of Time on Grant	Cost to Grant

II. CONTRACTOR ROLE

Type of Contractor to be Solicited	Role in Grant Program	Estimated Cost to Grant Program

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant: _____ Date: _____

Applicant/Administrator Track Record

Instructions for Chart G

Complete the Applicant/Administrator Track Record Chart in this Tab (Chart G). A sample and blank chart are located in this Tab. Include in Chart G your or your Contract Administrator's prior performance in successfully carrying out grant programs designed to assist residents in increasing their self-sufficiency, security, or independence.

To receive a high score, you must demonstrate your (or the proposed Contract Administrator's) program compliance and successful implementation of any grant programs oriented to resident self-sufficiency, security, or independence. Grants in this category include, but are not limited to:

- Economic Development and Supportive Services Program
- Family Investment Center Program
- Youth Development Initiative under the Family Investment Center Program
- Youth Apprenticeship Program
- Apprenticeship Demonstration in the Construction Trades Program
- Urban Youth Corps Program
- HOPE I Program
- Public Housing or Section 202/8 Service Coordinator Program
- Public Housing Drug Elimination Program
- Section 8 Family Self-Sufficiency
- Youthbuild
- Youth Sports Program
- Tenant Opportunities Program
- Housing Counseling
- HUD Nehemiah Program
- Limited Equity Housing Cooperative Conversions
- Resident services or empowerment programs sponsored by State or local governments or private foundations

SAMPLE – Chart G: RMBD APPLICANT/ADMINISTRATOR TRACK RECORD

Applicant: Ourtown Resident Association

HUD PROGRAM	PROJECT NUMBER	% OF TERM COMPLETED	% FUNDS DRAWN DOWN	MAJOR GOAL #1	% COMPLETE	MAJOR GOAL #2	% COMPLETE
Youth Apprenticeship Program	PA99YAP 002033 94	100%	75%	To enable 30 resident youth to complete community service programs.	90%	To enable 30 resident youth to complete apprenticeship training.	67%
Drug Elimination Grant	PA99DEP 00306095	90%	80%	To train resident patrols in seven developments.	71%	To implement resident patrols in seven developments.	57%

Chart G: RMBD Applicant/Administrator Track Record

Applicant: _____

Program	Project Number	% of Term Complete	% of Funds Drawn Down	Major Goal #1	Percent Complete	Major Goal #2	Percent Complete

**ROSS FY 1999 FUNDING
RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT**

Applicant Name: _____ Date: _____

Coordination with State or Tribal Welfare Plan/Community Consolidated Plan/Other Activities.

Your RMBD applications must summarize the State or Tribal welfare plan, describe below how your proposed program is consistent with that plan, and complete the following Certification of Consistency with the Consolidated Plan in this Tab.

You should demonstrate that you have reviewed your community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice, if one has been conducted, and has proposed activities that address the priorities, needs, goals, and objectives in those documents; or substantially further fair housing choice in the community. Applicants from tribal communities should demonstrate that you have reviewed your Indian Housing Plan.

To the extent possible, you should also demonstrate that, in carrying out program activities, you will develop linkages with: other HUD-funded program activities proposed or ongoing in the community; or other State, Federal, Tribal or locally funded activities proposed or ongoing in the community, which taken as a whole, support and sustain a comprehensive system to address needs.

**CERTIFICATION OF CONSISTENCY WITH THE
CONSOLIDATED PLAN**

**U.S. Department of Housing
and Urban Development**

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan.

Applicant Name: _____

Project Name: _____

Location of the Project: _____

Name of the Federal Program(s)
to which the applicant is applying: _____

Name of Certifying Jurisdiction: _____

Title: _____

Signature: _____

Date: _____

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant: _____ Date: _____

Physical Improvements

If the applicant is proposing physical improvements as described in the NOFA (Section IV(A)(5)(ix)), they must include the following items in their application.

Each applicant must submit a description of the renovation or conversion to be conducted along with a budget and timetable for those activities.

Each applicant must demonstrate a firm commitment of assistance from one or more sources ensuring that supportive services will be provided for not less than 2 years following the completion of renovation, conversion, or repair activities funded under this NOFA.

If renovation, conversion, or repair is done off-site, the PHA must provide documentation that it has control of the proposed property for not less than 2 years and preferably for 4 years or more. Control can be evidenced through a lease agreement, ownership documentation, or other appropriate documentation.

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RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

TAB 3

CERTIFICATIONS AND ASSURANCES

ROSS FY 1999 FUNDING RESIDENT MANAGEMENT AND BUSINESS DEVELOPMENT

Applicant: _____ Date: _____

Other Certifications and Assurances

Insert in this tab all signed forms listed below. Blank copies of these forms may be found in Part VII of this application kit.

- ☐ Assurances – Non-Construction Programs (Form SF-424B)
- ☐ Certification for a Drug-Free Workplace (Form HUD–50070)
- ☐ Applicant/Recipient Disclosure/Update Report (Form HUD-2800)
- ☐ Applicant's Disclosure on Lobbying Activities
- ☐ Disclosure of Lobbying Activities (Form SF- LLL)
- ☐ Certification of Payments to Influence Federal Transactions (Form HUD-50071)
- ☐ Certification or Disbarment and Suspension (Form HUD–2992)
- ☐ Acknowledgement of Application Receipt

ROSS FY 1999 FUNDING

PART V

RESIDENT SERVICE DELIVERY MODELS

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

OVERVIEW

PROGRAM DESCRIPTION

Resident Service Delivery Models (Families) These grants provide services to assist eligible residents to become economically self-sufficient, particularly families with children where the head of household would benefit from the receipt of supportive services and is working, seeking work, or is preparing for work by participating in job-training or education programs. Grants provide support for program activities essential to facilitate economic uplift and provide access to the skills and resources needed for employment, job development, and business development.

Resident Service Delivery Models (Elderly) This grant category provides supportive services for elderly residents and persons with disabilities.

ELIGIBLE APPLICANTS

- Family grants – PHAs and Tribes or Tribally Designated Housing Entities (TDHES) on behalf of public and Indian housing residents, or directly to resident management corporations, resident councils, or resident organizations, including nonprofit entities supported by residents.
- Elderly Disabled grants – PHAs and Tribes or TDHES.
- Previous EDSS, TOP, or Service Coordinator grantees must demonstrate that they have spent at least 75% of any prior grant by the publication date of this NOFA.

ELIGIBLE ACTIVITIES

Funds may be used for the activities described below, according to whether the application is for the family only category, or elderly and disabled only category.

Family Only

Program Coordinator. Applicants are encouraged to include a Program Coordinator for proposed RSDM activities for the entire term of the grant. A Program Coordinator is a person who is responsible for coordinating various proposed activities to ensure that their accomplishment will assist in achieving overall grant goals and objectives.

Physical improvements to provide space for self-sufficiency activities for residents, i.e. to provide cosmetic and repairs for space to conduct community activities; or to expand existing community space for proposed ROSS activities. Physical improvements **may not exceed 50%** of the total grant amount and must be directly related to providing

space for self-sufficiency activities for residents. Refer to Office of Management and Budget (OMB) Circular A-87, Cost Principles for State, Local and Indian Tribal Governments.

- Renovation, conversion, and repair costs may be essential parts of physical improvements. In addition, architectural, engineering, and related professional services required to prepare architectural plans or drawings, write-ups, specifications or inspections may also be part of the cost components to implement physical improvements.
- The renovation, conversion, or combination of vacant dwelling units in a housing development to create common areas to accommodate the provision of supportive services is an eligible activity for physical improvement.
- The renovation of existing common areas in a housing development to accommodate the provision of supportive services.
- The renovation or repair of facilities located near the premises of one or more housing developments to accommodate the provision of supportive services.

Entrepreneurship training (literacy training, computer skills training, business development planning).

Entrepreneurship development (entrepreneurship training curriculum, entrepreneurship courses).

Micro/Loan fund. Developing a strategy for establishing a revolving micro/loan fund and/or capitalizing a loan fund, including licensing, bonding, and insurance needed to operate a business.

Developing credit unions. Developing a strategy to establish and/or create onsite credit union(s) to provide financial and economic development initiatives to PHA or Indian housing residents. (RSDM grant funds cannot be used to capitalize a credit union.) The credit union could support the normal financial management needs of the community (i.e., check cashing, savings, consumer loans, micro-businesses money management, home buyer counseling educational loans, and other revolving loans).

Employment training and counseling (e.g., job training (such as apprenticeship programs), preparation and counseling, job search assistance, job development and placement, and continued follow-up assistance).

Employer linkage and job placement.

Family Only - Supportive Services Activities.

The provision of services to assist eligible residents to become economically self-sufficient, particularly families with children where the head of household would benefit

from the receipt of supportive services and is working, seeking work, or is preparing for work by participating in job-training or educational programs. Eligible supportive services may include, but are not limited to:

- Child care, of a type that provides sufficient hours of operation and serves appropriate ages as needed to facilitate parental access to education and job opportunities.
- Computer-based educational opportunities, skills training, and entrepreneurial activities.
- Homeownership training and counseling, development of feasibility studies and preparation of homeownership plans/proposals.
- Education including but not limited to: remedial education; computer skills training; career counseling; literacy training; assistance in the attainment of certificates of high school equivalency; two-year college tuition assistance; trade school assistance; youth leadership skills and related activities (activities may include peer leadership roles training for youth counselors, peer pressure reversal, life skills, goal planning). Academic support shall not be limited to TANF recipients.
- Youth mentoring of a type that mobilizes a potential pool of role models to serve as mentors to public or Indian housing youth. Mentor activities may include after-school tutoring, help with problem resolution issues, illegal drugs avoidance, job counseling, or mental health counseling.
- Transportation costs, as necessary to enable any participating family member to receive available services to commute to his or her training or supportive services activities or place of employment.
- Personal well-being (e.g., family/parental development counseling, parenting skills training for adult and teenage parents, self-development counseling, support groups/counseling for victims of domestic violence, and/or families with a mentally ill member, etc.).
- Supportive health care services (e.g., outreach and referral services to substance and alcohol abuse treatment and counseling, mental health services, wellness programs).
- Contracting for case management services contracts or employment of case managers, either of which must ensure confidentiality about resident's disabilities.
- Administrative costs not to exceed 20% of the grant amount.

- Stipends. No more than \$200 per participant per month of the grant award may be used for stipends for active trainees and program participants to cover the reasonable costs related to participation in training and other activities.

Elderly and Disabled - Supportive Services Activities

Such activities may include, but are not limited to:

- Meal service adequate to meet nutritional need;
- Assistance with daily activities;
- Housekeeping aid;
- Transportation services;
- Wellness programs, preventive health education, referral to community resources;
- Personal emergency response; and
- Congregate services - includes supportive services that are provided in a congregate setting at a conventional public or tribal housing development.

JOINT APPLICATIONS

Two or more applicants may join together to submit a joint application for proposed grant activities. Joint applications must designate a lead applicant. All parties in a joint application (lead or non-lead) are considered to be applying for ROSS and are therefore subject to the limit of one ROSS application per applicant, with the exception of those Service Coordinator applicants that may also apply in one additional ROSS category. Funding for joint applications may not exceed the stated maximum for this funding category.

APPLICATION SELECTION PROCESS

All applications are due no later than **90 days** from the publication date of this NOFA. Three types of reviews will be conducted: a screening to determine if the application submission is complete and on time; a threshold review to determine applicant eligibility; and a technical review to rate the applications based on five rating factors listed in the NOFA. A minimum score of **55** is required to be considered for funding.

HUD will conduct the selection process as follows for applicants other than tribes: HUD will first select the highest ranked application from each of the ten Federal regions for funding. After this “round,” HUD will select the second highest ranked application in each of the ten Federal regions for funding (the second round). HUD will continue this process with the third, fourth, and so on, highest ranked applications in each Federal

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

region until the last complete round is selected for funding. If available funds exist to fund some but not all eligible applications in the next round, HUD will make awards to those remaining applications in rank order regardless of region and will fully fund as many as possible with remaining funds.

In addition, if all funds are not awarded in this funding category, funds are transferable to other funding categories in this NOFA in the following order: first, service coordinators; second, Resident Management and Business Development; third, Resident Capacity Building and/or Conflict Resolution.

The selection process is designed to achieve both geographic diversity and a more equitable distribution of grant awards throughout the country.

After rating and ranking, HUD will fund Tribes/TDHEs in rank order until all funds allocated for Tribes/TDHEs have been awarded to the extent that there are eligible applications. Any remaining funds will be transferable to other funding categories in this NOFA in the following order: first, to qualifying applications from Tribes/TDHEs for Resident Management and Business Development grants; second to qualifying applications from Tribes/TDHEs for Resident Capacity Building and/or Conflict Resolution; third, to qualifying applications for Resident Service Delivery Model grants from applicants that are not Tribes/TDHEs.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant: _____ **Date:** _____

APPLICATION CHECKLIST

Your application is complete when you have the following:

- ☐ **COVER MATERIALS (See Part II of this application kit for forms in this tab.)**
Table of Contents /Checklist
 - ☐ Application Checklist
 - ☐ Application for Federal Assistance (Form SF-424)
 - ☐ Budget Information—Non-Construction Programs (Form SF-424A)
 - ☐ Fact Sheet
 - ☐ Program Summary
- ☐ **TAB 1**
Threshold Requirements
 - ☐ Threshold Checklist
 - ☐ Chart A: Resident Characteristics (Family RSDM Applicants Only)
 - ☐ Elderly Housing Development Certification (Elderly RSDM Applicants Only)
 - ☐ Accessible Community Facility
 - ☐ Match Requirements
 - ☐ RSDM Applicant/Administrator Certification
 - ☐ RA or “Troubled HA” Use of Contract Administrator
 - ☐ Proof of Nonprofit Status (RA & Nonprofit Applicants Only)
 - ☐ Certification of Resident Council Board Election (RA Applicants)
 - ☐ Compliance with Civil Rights Requirements Certification

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

APPLICATION CHECKLIST (Continued)

- ☐ **TAB 2**
Capacity of the Applicant and Relevant Organizational Experience
 - ☐ Chart B: Program Staffing
 - ☐ Chart C: Applicant/Administrator Track Record
 - ☐ Organization Chart
 - ☐ Staff Position Descriptions
 - ☐ Capacity of the Applicant and Relevant Organizational Experience
 - ☐ Staff Resumes
- ☐ **TAB 3**
Needs/Extent of Problem
 - ☐ Needs Assessment Report
- ☐ **TAB 4**
Soundness of Approach
 - ☐ Chart D: Summary Budget Information
 - ☐ Chart E: Detailed Budget
 - ☐ Chart F: Activity Plan Summary
 - ☐ Chart G: RSDM Activity Breakout
- ☐ **TAB 5**
Leveraging Resources
 - ☐ Chart H: Program Resources

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

APPLICATION CHECKLIST (Continued)

- ☐ **TAB 6**
Comprehensiveness and Coordination
 - ☐ Certification of Consistency with the Consolidated Plan
- ☐ **TAB 7**
Bonus Points
 - ☐ EZ/EC Certification
- ☐ **TAB 8**
Other Certifications and Assurances (See Section VII of this Application Kit for all forms in this tab.)
 - ☐ Assurances – Non-Construction Programs (Form SF-424B)
 - ☐ Certification for a Drug-Free Workplace (Form HUD–50070)
 - ☐ Applicant/Recipient Disclosure/Update Report (Form HUD-2800)
 - ☐ Applicant's Disclosure on Lobbying Activities
 - ☐ Disclosure of Lobbying Activities (Form SF- LLL)
 - ☐ Certification of Payments to Influence Federal Transactions (Form HUD 50071)
 - ☐ Certification or Disbarment and Suspension (Form HUD–2992)
 - ☐ Acknowledgement of Application Receipt

ROSS FY 1999 FUNDING

RESIDENT SERVICE DELIVERY MODELS

TAB 1

THRESHOLD REQUIREMENTS

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

THRESHOLD CHECKLIST

Applicant: _____

Date: _____

You must address the following threshold requirements for your application to be complete and acceptable for rating and ranking. You can verify that information is included in your application kit by using a check mark in the space provided. Please note that HUD will also verify that information is included appropriately. (See NOFA, Section V (G) and VII)

THRESHOLD REQUIREMENT	APPLICANT USE ONLY	HUD USE USE ONLY
1. Focus on Residents Affected by Welfare Reform (Family applicants only)	_____	_____
2. Elderly Housing Development Certification (Elderly applicants only)	_____	_____
3. Accessible Community Facility	_____	_____
4. Match Requirement	_____	_____
5. Compliance with Current Programs	_____	_____
6. For RAs and or "troubled" PHAs: document that a Contract Administrator (or equivalent organization) will administer the grant.	_____	_____
7. Applicant Nonprofit Status (RA and non- profit applicants only)	_____	_____
8. Certification of Elections (RA applicants only)	_____	_____
9. Compliance with Civil Rights Requirements	_____	_____

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant: _____

Date: _____

THRESHOLD REQUIREMENTS

See NOFA, Section V(G) and VII

The Grants Management Center (GMC) will conduct a threshold review to determine your eligibility. Under the threshold review, you will be rejected from the competition if you are not in compliance with the threshold requirements.

1. Focus on Residents Affected by Welfare Reform. Your Family RSDM application must contain written evidence that at least 51% of residents to be included in your proposed program are affected by welfare reform legislation. This requirement is not applicable to your program if it serves the elderly or persons with disabilities.

Complete the following **Resident Characteristics Chart** for the housing development you propose to serve. Indicate whether separate charts were completed for each development or whether one chart was prepared for the developments combined.

General Instructions for the Resident Characteristics Chart

It is not required that every statistic requested in the **Resident Characteristics Chart** be provided. Nevertheless, the data provided must be sufficient to permit: (1) an assessment of the needs of eligible potential participants related to your proposed program goals, which for Family RSDM applications must focus on moving residents from welfare to work; and (2) development of, and documentary support for, work activities that meet these needs. Charts E and F constitute a work plan to meet the needs identified in the **Resident Characteristics Chart** and the Needs Assessment Report. For Family RSDM applications, your data must demonstrate that at least 51% of participating residents **are** TANF recipients or affected recipients of Food Stamps and SSI. Elderly or disabled residents may be included in the 51% if: (1) their Medicaid or Food Stamp benefits are affected by welfare reform, or (2) they provide services such as child care or mentoring to families affected by welfare reform.

Complete the first column in the Resident Characteristics Chart to describe the entire resident population in the public and Indian housing or other development(s) identified in your proposed program. Break out data for TANF/AFDC families in the second column, and for Elderly/Disabled persons/families on SSI in the third column.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

General Instructions for the Resident Characteristics Chart (continued)

Indicate “**NA**” in any answer space for data requested that is not available or not pertinent to the clientele proposed to be served. **For example**, if you propose to serve TANF/AFDC families only, you may put “**NA**” in all items under the entire column for “**Elderly/Disabled on SSI.**” You are not required to conduct a survey prior to submitting your application for the sole purpose of completing the Resident Characteristics Report. If no survey information is available on a particular topic, specify the various population subgroups that you propose to serve.

If you propose to assist more than one site you may aggregate data for all sites in a single Resident Characteristics Chart under the column “**Proposed Developments.**” Notwithstanding, if you want to highlight distinctions between sites related to need, you may want to provide a separate **Resident** Characteristics Chart for each site.

If you are providing separate Resident Characteristics Charts for each site, you **must** write the name of the development for which the Resident Characteristics Chart was prepared at the top of each chart. If you are providing aggregate data for all sites you propose to assist in a single Resident Characteristics Chart, you should write the word “**ALL**” in the space provided.

Finally, in the last row, specify the number of persons you plan to serve in your proposed RSDM–funded program.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant: _____

Date: _____

Chart A: RESIDENT CHARACTERISTICS IN _____ DEVELOPMENT(S) PROPOSED FOR ASSISTANCE UNDER RSDM

DEMOGRAPHIC STATISTICS SHOWING NEED

	All Residents in Proposed Development	TANF/AFDC Families Only	Elderly/Disabled on SSI Only
Total Number of Households			
Average Household Income			
Number of Children: <i>Preschool 0-5</i>			
<i>Grade School 6 – 12</i>			
<i>Teenagers 13 –17</i>			
TOTAL			
Number & Pct. of Households w/Children	/	/	/
Number & Pct. over 65 years	/	/	/
Number & Pct. with Disabilities	/	/	/
Number & Pct. Adults with High School Diploma/GED	/	/	/
High School Dropout Rate/Number			
Number & Pct. Heads of Household Unemployed	/	/	/
Number & Pct. Heads of Household :	/	/	/
<i>Employed Full-Time</i>			
<i>Employed Part-Time</i>			
TOTAL			
Number & Pct. Households on Welfare (TANF, SSI, etc)	/	/	/
Number/Pct. Adults in: <i>Job Training</i>	/	/	/
<i>Entrepreneurship Training</i>			
<i>Community Service Program</i>			
Number & Pct. Households with Non-Citizens Impacted by Welfare Reform	/	/	/
Other Statistical Indicators			
Number of residents to be served by RSDM grant			

In the space below, specify the source(s) of the above statistical information -- e.g., Census of Population Tract Data; housing agency's data systems based on the residents' Form HUD-50058; HUD's Multifamily Tenant Certification System; or other data source.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____

Date: _____

2. Elderly Housing Development Certification You must certify that at least 25% of the residents in the development(s) proposed for the grant activities are elderly and/or non-elderly people with disabilities.

**RSDM ELDERLY HOUSING
DEVELOPMENT CERTIFICATION**

I CERTIFY that ____ % of the residents in the development(s) proposed for the grant activities are elderly and/or non-elderly people with disabilities at the time of the application; thereby meeting or exceeding the 25% requirement.

Signed this _____ day of _____, 1999

By: _____
Applicant Executive Director of other Authorized Representative

For: _____
Applicant Name

Verified by: _____ Date: _____
For GMC

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____

Date: _____

3. Accessible Community Facility. You must provide evidence **(e.g., an executed use agreement if the facility will be provided by an entity other than your organization)** that a majority of your proposed activities will be administered at community facilities within easy transportation access of your property. The facilities must be within walking distance or accessible by direct (i.e., no transfers required), convenient, inexpensive, and reliable transportation. Any community facilities must meet the structural accessibility requirements of Section 504 of the *Rehabilitation Act* and the *Americans with Disabilities Act*.

Provide a description of the location where training and other activities will be held. Describe where the facility is located in relation to the development(s) to be served, the days and hours of operation, how transportation needs to the facility will be addressed, and how the facility will be accessible to persons with disabilities. Also describe whether the facility to be used is currently in operation, if not, what steps will be taken to adequately operate the facility.

Attach an executed agreement between the applicant and other entity providing community facilities.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____

Date: _____

4. Match Requirement. You must supplement grant funds with a cash and/or in-kind contribution match of not less than at least 25% of the grant amount. The match may include: cash and/or the value of in-kind services, contributions or administrative costs provided to you; funds from Federal sources (but not ROSS, TOP, EDSS, or SC funds); funds from any State or local Government sources; and funds from private contributions.

Your application must demonstrate that the resources and services you will use as match amounts (including resources from your Comprehensive Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit) are firmly committed and will support your proposed grant activities. "Firmly committed" means there must be a written agreement to provide the resources and services signed by an official legally able to make commitments on behalf of the organization. The written agreement may be contingent upon you receiving a grant award.

Attach all separate firm commitments that equal at least 25% of the RSDM grant amount requested.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____

Date: _____

5. Compliance with Current Programs. Your organization must be in compliance with all the requirements of any HUD grant programs designed to assist resident self-sufficiency in which you are currently participating.

**RSDM APPLICANT/ADMINISTRATOR
CERTIFICATION**

I CERTIFY that my response to the following three questions are correct:

1. Is there any current HUD declaration of default against your organization or, if applicable, Contract Administrator for failure to meet any contractual obligation?
YES or NO (Please circle one.) (Explain any "YES" response.)

2. Are there any unresolved HUD Office of Inspector General Findings against your organization or Contract Administrator?
YES or NO (Please circle one.) (Explain any "YES" response.)

3. Are there any unresolved HUD Fair Housing and Equal Opportunity monitoring review findings or HUD Field Office management review findings against your organization?
YES or NO (Please circle one.) (Explain any "YES" response.)

Signed this _____ day of _____, 1999

By: _____
Applicant Executive Director or other Authorized Representative

For: _____
Applicant Name

Verified by: _____ Date _____
For GMC

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant: _____

Date: _____

6. Contract Administrator. Unless HUD or an Independent Public Accountant have determined that the applicant's financial management system and procurement procedures fully comply with 24 CFR part 84, applications must contain evidence that the applicant will use the services of a Contract Administrator. Troubled PHAs are required to provide evidence that a Contract Administrator has been retained for the term of the grant. A Contract Administrator, if retained, must oversee the financial activities and assist with the entire implementation of the grant. A signed executed agreement must be included in the application. A sample agreement is included on the following page. This agreement may be contingent upon the applicant receiving a grant award.

The Contract Administrator may be: Local Housing Agencies (except for troubled PHAs); community-based organizations such as Community Development Corporations (CDC), churches; nonprofits; and State/Regional associations and organizations. If a grantee is unable to obtain the services of a Contract Administrator or accountant without charge, the cost for a Contract Administrator and/or accountant is an eligible cost under the grant. The grantee is required to maintain documentation on file showing what efforts it made to obtain the services of a Contract Administrator cost-free.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

SAMPLE RSDM CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT

This partnership agreement is made and entered into by and between the Contract Administrator (CA), (e.g., the local housing authority agency (PHA) or other non-profit corporations), hereinafter referred to as "CA," and the applicant

WHEREAS, the applicant is submitting this proposal for a Resident Service Delivery Model (RSDM) Grant to further its objectives.

WHEREAS, the applicant agrees to comply with all terms and conditions expressed in HUD's NOFA, applicable provisions of 24 CFR 964, provisions of any technical assistance grant agreement entered into with HUD, and any other stipulations made by the CA and agreed to in writing by a duly authorized representative of the applicant pertaining to the technical assistance provided.

WHEREAS, the CA supports the applicant's RSDM application and agrees to provide technical assistance to the applicant in accordance with HUD's regulations.

WHEREAS, pursuant to the commitment made by the CA, this agreement is executed outlining the type, scope and extent of services that the CA will provide to the applicant if the grant is funded. If HUD does not fund the grant, this agreement shall be null and void.

Both parties herein fully understand and agree to the following:

Roles and Responsibilities

The CA agrees to oversee the administration of the RSDM grant that includes financial management, procurement, completing the semi-annual reports, and ensuring that all grant activities are completed successfully within the grant period. In meeting these commitments, the CA agrees to abide by the provisions of 24 CFR Parts 964, 45, 84, and 85 and OMB Circulars A-87 and A-122.

The CA agrees to operate under the direction of the applicant. The applicant retains ultimate responsibility for all grant activities, including drawing down funds from HUD, grant expenditures, and reporting to HUD. The CA will have authority to draw down funds and submit reports to HUD only with the written authorization of the applicant. All checks and other expenditures in an amount higher than \$_____ must be signed and/or approved by the applicant or CA.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

SAMPLE RSDM CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT (continued)

The CA agrees to conduct an educational needs assessment to determine the skills of each resident selected to participate in the various training programs designed by the applicant.

Coordination of Grant Activities

The CA agrees to coordinate the provision of assistance from community organizations, governmental officials, and other public services on a variety of related topics and available relevant resources to the residents. Following are suggested resources:

- Elected Officials
- Area Enrichment Programs
- Local Banks - Community Relations Departments
- Chamber of Commerce - Small Business Development Programs
- Community Development Agencies
- Private Industry Council
- Local and State Health and Human Services Agencies & Affiliates
- Local Higher Education and Continuing Education Facilities
- Local Independent School Districts
- Community Social Services Organizations

Technical Assistance may also be provided on a variety of areas including but not limited to: general bookkeeping/record keeping procedures, procurement policies; banking procedures; and managing grant funds.

Program Assessment

The CA agrees to coordinate, conduct or assist the applicant in assessing the RSDM activities based on the methodology in the applicant's proposal to HUD.

Contracted Amount

No funds will be paid to the CA for services rendered prior to HUD selection of the applicant for RSDM funding or for services rendered prior to the execution of a grant agreement between the applicant and HUD. This agreement is conditioned on HUD's selection of the applicant for RSDM funding.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

**SAMPLE RSDM CONTRACT ADMINISTRATOR PARTNERSHIP AGREEMENT
(continued)**

The contracted amount for all services defined within the context of this contract is based on a _____ period of time beginning _____ and ending _____, or \$ _____ for year one of the project, and \$ _____ for year two of the project with year two beginning _____. The installment payments shall be made in the amount of \$ _____ to _____ upon submission of a Payment Voucher (PV) for costs incurred.

Termination

The applicant may terminate this agreement within 60 calendar days of written notice to the U.S. Department of Housing and Urban Development and the CA. Termination may be based on non-compliance or non-cooperation by the CA. Termination may only occur when all channels of resolution have been exhausted, including mediation between the two parties. If all avenues have been exhausted, termination will require a two-third majority vote of the Board of Directors of the applicant.

WITNESS OUR HANDS EFFECTIVE _____

Applicant

Contract Administrator

Applicant Executive Director or
Other Authorized Representative

Executive Director

Date

Date

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____

Date: _____

7. Applicant Nonprofit Status. Both RA and nonprofit applicants **only** must submit evidence that the applicant is registered with the State as a nonprofit corporation at the time of application submission. Nonprofit applicants must have Section 501(c) nonprofit corporation status with the United States Internal Revenue Service at the time of application submission.

Evidence of State incorporation for all nonprofit applicants shall be a copy of the Certificate of Incorporation or Certificate of Good Standing from the State government (Secretary of State or Secretary of Corporations). Evidence of a nonprofit applicant's current nonprofit status shall be a copy of the IRS's designation.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____

Date: _____

8. Certification of Elections. RA applicants must submit certification of the RA board election as required by HUD, signed by the local PHA or TDHE and/or an independent third-party monitor and notarized.

Certification of Resident Council Board Election

I CERTIFY _____
(name of organization)

located in _____ has duly elected all of
(city & state)

Resident Council Officers as required by the U.S. Department of Housing and Urban Development, 24 Code of Federal Regulations, Part 964.

Date of Last Resident Council Board Election: _____

(Name and Title of Certifying Housing Agency Official)

(Signature) (Date)

(Name and Title of Independent Third-Party Monitor)

(Signature) (Date)

NOTARY (*Signature & Date*)

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____

Date: _____

9. Compliance with Civil Rights Requirements. You must be in compliance with all fair housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a). Federally recognized Indian tribes must comply with the *Age Discrimination Act of 1975* and the *Indian Civil Rights Act*. If you, the applicant, (a) have been charged by the Secretary with a violation of the *Fair Housing Act*, (b) are the defendant in a *Fair Housing Act* lawsuit filed by the Department of Justice, or (c) have received a letter of noncompliance findings under Title VI of the *Civil Rights Act*, Section 504 of the *Rehabilitation Act*, or Section 109 of the *Housing and Community Development Act*, then you are not eligible to apply for funding under this NOFA until you resolve such charge, lawsuit, or letter of findings to the satisfaction of HUD. Complete the following certification. (See NOFA, Sections VII(A), VII(B), and VIII(A).)

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

RSDM CERTIFICATION OF CONSISTENCY AND COMPLIANCE

I CERTIFY that the proposed RSDM activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the RSDM application to address the furtherance of fair housing.
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, the *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, the *Equal Pay Act*, Section 504 of the *Rehabilitation Act of 1973*, the *Age Discrimination Employment Act of 1967*, and the *Age Discrimination Act of 1975*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.
6. **Administrative Requirements.** The administrative requirements of 24 CFR part 84 or part 85, as appropriate.

Signed this _____ day of _____, 1999.

By: _____
Applicant Chief Executive Officer or Other Authorized Representative

For: _____
Applicant

Verified by: _____ Date _____
For GMC

ROSS FY 1999 FUNDING

RESIDENT SERVICE DELIVERY MODELS

TAB 2

RATING FACTOR 1:

Capacity of the Applicant and Relevant

Organizational Experience

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant: _____

Date: _____

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 points)

This factor addresses the extent to which your organization has the resources necessary to successfully implement your proposed activities in a timely manner.

Rating Factor 1(1): Proposed Program Staffing (7 points)

Provide a description of your staffing and program administration. (See NOFA, Section V(I), Rating Factor 1(1).)

Include a narrative description of your proposed staffing (paid or volunteer) in support of your proposed program and proposed coordination among service providers; a completed Chart B, an organization chart, staff position descriptions, and resumes. Collectively, these items should identify the following:

- 1) An explanation of how your staffing plan is structured to accomplish your program objectives;
- 2) A staff person(s) who will have primary responsibility for effective overall coordination of your program on a day to day basis and what percentage of his/her time will be committed to this responsibility;
- 3) Names of responsible applicant staff and Contract Administrator staff persons, position descriptions, proposed roles in implementing the RSDM program, relevant skills, and percentage of time allocated to the program; and
- 4) A comprehensive break-out of who will provide training and related services and how the services will be delivered. Indicate who will conduct training: you, the Contract Administrator, a contractor, another applicant, or other partner.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____ Date: _____

Proposed Program Staffing (7 points)

- (a) Experience (4 points). Describe the knowledge and experience of your overall proposed project director and staff. Include among staff the day-to-day program. Also include staff for subrecipients and partners in planning and managing programs for which funding is being requested. Experience will be judged in terms of recent, relevant, and successful experience of your staff to undertake eligible program activities.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____

Date: _____

Proposed Program Staffing (continued)

- (b) Sufficiency (3 points). Describe the extent to which you, your subrecipients, and your partners have sufficient personnel to deliver your proposed activities in each proposed service area in a timely and effective fashion, including your readiness and ability to immediately begin your proposed work program. Alternatively, describe how you will be able to quickly access qualified experts or professionals. To demonstrate sufficiency, you must submit:
- (1) the proposed number of staff years to be allocated to the project by employees and experts,
 - (2) the titles and relevant professional background and experience of each employee and expert proposed to be assigned to your project, and
 - (3) the roles to be performed by each identified employee and expert.

Chart B: PROGRAM STAFFING

Applicant Name: _____

I. APPLICANT/CONTRACT ADMINISTRATOR				
Name of Staff Person	Organization and Position	Role in Grant Program	Percent of Time on Grant	Cost to Grant

II. CONTRACTOR ROLE		
Type of Contractor to be Solicited	Role in Grant Program	Estimated Cost to Grant Program

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant: _____ Date: _____

Rating Factor 1(2): Program Administration and Fiscal Management (7 points)

Describe the proposed management structure of your proposed RSDM program. To receive a high score in Rating Factor 1, subfactors (2)(a) and (2)(b), you must provide a clear comprehensive description of the following:

- (a) Program Administration (4 points). Describe your project management structure, including the use of a Contract Administrator, if applicable (RAs and those PHAs designated as “troubled” by HUD **must** appoint or contract with a Contract Administrator). Describe how co-applicants, subgrantees, and other partner agencies relate to the program administrator as well as the lines of authority and accountability among all components of your proposed program.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant: _____ Date: _____

Program Administration and Fiscal Management (continued)

- (b) Fiscal Management Structure (3 points). Describe your fiscal management structure, including but not limited to budgeting, fiscal controls, and accounting. Clearly identify the staff responsible for fiscal management, and the processes and timetable for implementation during your proposed grant period.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant: _____

Date: _____

Rating Factor 1(3): Applicant/Administrator Track Record (6 points)

This Tab provides information related to you and, if applicable, your Contract Administrator's past performance.

Instructions for Chart C

Complete the Applicant/Administrator Track Record Chart in this Tab (Chart C). A sample and blank chart are located in this Tab. Include in Chart C your or your Contract Administrator's prior performance in successfully carrying out grant programs designed to assist residents in increasing their self-sufficiency, security, or independence.

To receive a high score, you must demonstrate your (or the proposed Contract Administrator's) program compliance and successful implementation of any grant programs oriented to resident self-sufficiency, security, or independence. Grants in this category include, but are not limited to:

- Economic Development and Supportive Services
- Family Investment Center Program
- Youth Development Initiative under the Family Investment Center Program
- Youth Apprenticeship Program
- Apprenticeship Demonstration in the Construction Trades Program
- Urban Youth Corps Program
- HOPE I Program
- Public Housing or Section 202/8 Service Coordinator Program
- Public Housing Drug Elimination Program
- Section 8 Family Self-Sufficiency
- Youthbuild
- Youth Sports Program
- Tenant Opportunities Program
- Housing Counseling
- HUD Nehemiah Program
- Limited Equity Housing Cooperative Conversions
- Resident services or empowerment programs sponsored by State or local governments or private foundations

SAMPLE – Chart C: RSDM APPLICANT/ADMINISTRATOR TRACK RECORD

Applicant: *Ourtown Housing Authority*

HUD PROGRAM	PROJECT NUMBER	% OF TERM COMPLETE D	% FUNDS DRAWN DOWN	MAJOR GOAL #1	% COMPL ETE	MAJOR GOAL #2	% COMPL ETE
Youth Apprenticeship Program	PA99Y AP 002033 04	100%	75%	To enable 30 resident youth to complete community service programs.	90%	To enable 30 resident youth to complete apprenticeship training.	67%
Drug Elimination Grant	PA99D EP 003060	90%	80%	To train resident patrols in seven developments.	71%	To implement resident patrols in seven developments.	57%

Chart C: RSDM Applicant/Administrator Track Record

Applicant: _____

Program	Project Number	% of Term Complete	% of Funds Drawn Down	Major Goal #1	Percent Complete	Major Goal #2	Percent Complete

ROSS FY 1999 FUNDING

**RESIDENT SERVICE DELIVERY
MODELS**

TAB 3

Rating Factor 2: Need/Extent of Problem

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____

Date: _____

Rating Factor 2: Need/Extent of the Problem (20 points)

This factor addresses the extent to which there is a need for funding your proposed program activities. Your proposed activities should address a documented problem in the targeted development(s) – the development(s) where your proposed activities will be carried out. Your application will be evaluated on the extent to which you document a critical level of need in the targeted development(s). (See NOFA, Section V(l).)

Rating Factor 2(1): Needs Assessment Document (18 points)

You **must** submit the attached **Needs Assessment Report** dealing with your proposed recipient population. At a minimum, the report must contain sections covering statistical or survey information on the needs of the recipient population and identifying existing resources to help meet the needs. HUD will award you up to **18 points** based on the quality and comprehensiveness of your Needs Assessment Report.

You should respond to all relevant questions on the following pages. A complete set of responses will provide HUD with a comprehensive and succinct presentation of the information required to demonstrate your need for RSDM funds. In addition, you must complete the **Resident Characteristics** (Chart A) as a threshold requirement, in Tab 1, of your RSDM application.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____ Date: _____

Rating Factor 2(2): Level of Priority in Consolidated Plan (2 points)

Below, describe how your proposed RSDM activities will conform with the community's Consolidated Plan or Indian Housing Plan. For small cities, this may be the State's Consolidated Plan. Document the level of priority that the Consolidated Plan places on the needs described under Rating Factor 2(1). Also, describe how your proposed activities will conform with other planning or legal documents, such as the area's Analysis of Impediments to Fair Housing Choice (AI) or a court order. (See NOFA, Section V(I), Rating Factor 2(2).)

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____ Date: _____

Rating Factor 2(1): Needs Assessment Document (18 points)

NEEDS ASSESSMENT REPORT

A.

Briefly describe the results of any survey of residents in the target development(s) by the applicant, welfare department, or other source or provide other empirical observations (not reflected in the statistics on Chart A of Tab 1) regarding:

1. Resident professional, vocational, and educational skills and interests.

2. Resident training and supportive service needs related to moving from “welfare-to-work” such as counseling, literacy, English language skills, day care, transportation, and accommodation to disabilities.

(If you are applying for Elderly and Disabled Persons RSDM funds, you need not respond to the questions above, but should provide a brief discussion of any survey information dealing with your residents' needs. You do not need to conduct a survey prior to application submission for the sole purpose of responding to this Needs Assessment Report. If no survey information is available on a particular topic, write N/A.)

B.

Describe: (1) various employment opportunities in the community which address the range of resident educational levels, skills, and other characteristics profiled in the previous page (or Chart A of Tab 1) of this Needs Assessment Report; (2) any training programs between 1 week and 18 months long and supportive service (such as transportation) that would be required for public or Tribal housing residents and are unique to each opportunity; and (3) the extent to which each opportunity provides a stable livelihood sufficient to support families with children.

(If you are applying for RSDM funds for elderly and/or persons with disabilities, you do not need to respond to the above question.)

C.

Key Subpopulations.

Based on the profile of the resident population and information on job opportunities, name key segments of your resident population that need training, economic development, or supportive services for Family Self-Sufficiency or independent living for the elderly/persons with disabilities. Describe your need briefly.

1. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:

Population:

Need:

2. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:

Population:

Need:

3. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:

Population:

Need:

4. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:

Population:

Need:

5. Actual or Estimated % on TANF/SSI/other type of welfare:

Source of Data or Justify Estimate:

Population:

Need:

D.

Describe how the extent and nature of these needs are affected by welfare reform. Include in this discussion a brief summary of key provisions your State or Tribal government's welfare reform plan that are applicable to the population you intend to serve.

(If you are applying for RSDM funds for elderly and/or persons with disabilities, you do not need to respond to the above question.)

E.

Specify the number of persons in the following categories and identify their roles:

1. Residents in your development employed by the applicant.
2. Residents in your development employed by applicant contractors.
3. Resident-owned businesses contracting with the applicant.

Also, indicate the percentage (%) of:

- (1) Applicant employees that are residents.
- (2) Applicant contractors that are resident-owned or who employ more than one PHA or Indian housing resident.
- (3) Applicant contract dollars that go to resident-owned businesses or to businesses that employ more than one PHA or Indian Housing resident.

(If you are applying for RSDM funds for elderly and/or persons with disabilities, you do not need to respond to the above question.)

F.

Name existing service providers on-site or near your targeted public or Indian housing development(s) that currently serve residents and contribute to meeting needs you have identified for the development. Assess the differential between what is provided and the level of need that you have identified over the next 3 years.

1. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

2. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

3. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

4. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

5. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

6. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

7. Service Provider/Resource: _____
(Check one) On-Site _____ Not On-Site _____
Eligible Recipients:

Extent to which Identified Needs of Targeted Development(s) are addressed by this Service Provider and type of service:

G.

Given the needs and resources identified, and the impact of welfare reform, summarize and prioritize unmet needs for family self-sufficiency or independent living for the elderly and disabled. (Family RSDM applications must focus on households affected by welfare reform.)

Priority unmet need 1

Priority unmet need 2

Priority unmet need 3

Priority unmet need 4

Priority unmet need 5

H.

Describe the goals, objectives, and program strategies that will result in the successful transition of residents from welfare to work or in the case of elderly or disabled RSDM applicants, in increased independence for proposed program participants.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

TAB 4

Rating Factor 3: Soundness of Approach

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant: _____ Date: _____

Rating Factor 3: Soundness of Approach (40 points)

Describe the rationale to support your proposed approach. Include statements concerning the viability and comprehensiveness of strategies to address the needs of residents; the budget appropriateness/efficient use of grant; the rate at which you can realistically accomplish the goals of your proposed RSDM program; the soundness of your plan to evaluate the success of your proposed RSDM program at completion and during program implementation; and resident and other partnerships.

You must use the chart formats in this Tab to reflect your narrative information. Chart D lists line items. Chart E provides a detailed Budget, breaking out each activity by major cost categories and funding sources. Chart F is an Activity Plan Summary for you to identify each major activity and their dates. Chart G, Activity Breakout, for each major activity identified in Chart F is required as part of your submission.

SPECIAL CONSIDERATIONS FOR FAMILY RSDM PROGRAMS:

A) Special Concerns in Designing Activities for Resident Service Delivery Models.

In order to receive maximum selection points in Rating Factor 3(1)(a), include each of the following types of activities:

- 1) Recruitment of residents to be served. Describe subgroups in your resident population to be targeted and methods to be used to recruit participants. If you are only applying for Family RSDM funds, include data from the Resident Characteristics Chart that confirms that 51% or more of residents to be served by this program are TANF recipients or affected recipients of Food Stamps or SSI. Elderly or disabled residents may be included in the 51% if: (1) their Medicaid or Food Stamp benefits are affected by welfare reform, or (2) they will provide services such as child care or mentoring to families affected by welfare reform. The information provided must support evidence that at least 51% of residents of the proposed program are affected by welfare reform or your application will be ineligible for RSDM. (See Tab 2.)

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

SPECIAL CONSIDERATIONS FOR FAMILY RSDM PROGRAMS (continued):

- 2) Case management and counseling. Describe counseling for personal development (including, if applicable, mentoring, family counseling) and economic self-sufficiency (including, if applicable, career counseling, housing counseling, referrals to economic development activities, and child care/transportation referrals).
- 3) Economic development training. Describe job training and training residents to start and manage their own businesses.
- 4) Job development or placement services or resident business startup assistance. Describe, if applicable, employer linkage, job placement, providing startup capital or contracts for resident owned businesses, and/or assisting residents in establishing credit unions. To receive points under subfactor (1)(b), you must commit to hire 15% of residents or contract with 15% of resident business, consistent with the goals of Section 3. To qualify for these points, you must describe in this section the number of jobs or contracts you will provide and include in a letter signed by applicant's Executive Director or other legally authorized official or a resolution from the Board of Directors committing to hire or contract with the specified number of residents. Indicate in this section where this letter can be found.
- 5) Child care. Describe child care services for parents who are working, looking for work, or enrolled in a training, education, or other support program.
- 6) Transportation. Describe the extent to which work training, supportive services or work placement includes location(s) requiring transportation. Transportation would generally be required to any work site located outside the development or on-site but far from living units.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

SPECIAL CONSIDERATIONS FOR ELDERLY OR DISABLED RSDM PROGRAMS

In order for an application for elderly and disabled RSDM to receive maximum points in Rating Factor 3(a)(ii), the proposed program must be located in a community facility, be available on a 12-hour basis or as needed, and include activities in the following categories:

- 1) Case management,
- 2) Health and personal care,
- 3) Congregate services, and
- 4) Transportation.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____ Date: _____

Rating Factor 3(1): Viability and Comprehensiveness of the Strategies to Address the Needs of Residents (21 points)

Your application will be scored on this subfactor based on the viability and comprehensiveness of strategies to address the needs of residents.

Rating Factor 3(1)(a): Services (18 points for Family RSDM applicants and 21 points for Elderly/Disabled RSDM applicants)

Include a narrative discussion in this section, to comprehensively describe all program activities (including physical improvements) - whether paid for by RSDM grant funds, or other sources and their relationship with each other. The description of each activity must include: objectives, beginning and completion dates, types of services, staff time, and dollar amounts over the 36 month time period. Activities, timetables, and activity milestones should be designed to sequentially and effectively lead towards accomplishment of the overall program objectives.

Each applicant requesting physical improvements should submit a description of the renovation or conversion to be conducted along with a budget and timetable for those activities. Each applicant must demonstrate a firm commitment of assistance from one or more sources ensuring that supportive services will be provided for not less than 2 years following the completion of renovation, conversion, or repair activities funded under this NOFA.

If renovation, conversion, or repair is done off-site, the applicant must provide documentation that it has control of the proposed property for not less than 2 years and preferably for 4 years or more. Control can be evidenced through a lease agreement, ownership documentation or other appropriate documentation.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant Name: _____ Date: _____

**Rating Factor 3(1)(b): Resident Contracting and Employment
(Family RSDM only – 3 points)**

This rating subfactor applies only to Family RSDM submissions. Describe below how residents will achieve self-sufficiency through your contracting with resident-owned business and through resident employment. Describe the number of jobs or contract opportunities to be created. Describe your training process. A high score will require documentation – that is, a letter or resolution describing you or your partners' commitment to hire at least 15% of residents or contract with at least 15% of residents.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name:_____ Date:_____

Rating Factor 3(2): Budget Appropriateness/Efficient Use of Grant (5 points)

Your application will be scored for this subfactor based on the following:

- (a) Detailed budget break-out. Complete Chart D, Summary Budget Information, for your proposed activities. Complete Chart E to provide a detailed budget for each budget category in your completed Form SF-424A.
- (b) Reasonable administrative costs: the extent to which administrative costs are at or below the 20% administrative cost ceiling.
- (c) Budget efficiency: the extent to which your requests funds is commensurate with the level of effort necessary to accomplish the proposed goals and objectives, and the extent to which the estimated costs to the government are reasonable in relationship to the anticipated results.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Chart D RSDM SUMMARY BUDGET INFORMATION FOR HUD AUTOMATED TRACKING

Applicant Name:_____ Date:_____

Please list specific budget amounts for each line item. These budget line items and amounts will be programmed into HUD's Line of Credit Control System (LOCCS) for designating and tracking uses of grant drawdowns. Line item amounts in Chart D must be consistent with the more detailed budget in Chart E.

BUDGET LINE ITEM		AMOUNT
2005	Program Coordinator	_____
2010	Physical Improvements	_____
2020	Entrepreneur Business Development	_____
2021	Establishing A Revolving Loan Fund	_____
2022	Developing a Credit Union	_____
2030	Business Development	_____
2031	Develop Business Plan	_____
2032	Conduct Market Analysis	_____
2033	Secure Licensing, Insurance, Bonding	_____
2034	Training Related to Resident Owned Business	_____
2035	Establishment of Resident Managed Business Development	_____
2040	Resident Organization Development Activities	_____
2041	Organize Community	_____
2042	Operating Procedures	_____
2043	Develop MOU	_____
2044	Develop Plan for Technical Assistance	_____
2045	Consultant Contracts	_____
2046	Self Sufficiency Programs	_____

SUMMARY BUDGET INFORMATION (continued)

2050	Resident Management	_____
2051	Conduct Feasibility Study	_____
2052	Secure Training/Skills/Expertise	_____
2053	Develop MOU	_____
2054	Consultant	_____
2055	Secure T/A to Draft Contract	_____
2056	Negotiate Contract with PHA	_____
2057	Conduct Resident Training Preparation	_____
2060	Self Sufficiency Program	_____
2061	Program Coordinator	_____
2062	Physical Improvements	_____
2063	Employment and Job Readiness	_____
2064	Job Training	_____
2065	Management Related Employment Training	_____
2066	Vocational Training	_____
2067	Technical Assistance	_____
2070	Family Supportive Services	_____
2870	Elderly Supportive Services	_____
9100	Travel Costs	_____
9200	Other Resident Costs (Stipends, Reimbursements)	_____
9300	Contract Administrator	_____
9400	Administrative and Other Costs	_____

Sample Chart E: Detailed RSDM Budget

#	ACTIVITY	BUDGET	ITEM	RSDM GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS	
1	Rehab Community Center - No RSDM funds to be used.	RSDM COSTS		Housing Authority Personnel	\$0		
			Housing Authority Admin & Other		\$0		
			Contractor(s)		\$0		
			Subgrantee.		\$0		
			NON-RSDM COSTS		Housing Authority		
	Partners:		\$0				
TOTAL COSTS			\$0	\$20,000	\$20,000		
2	Outreach, Recruitment and Survey	RSDM COSTS		Housing Authority Personnel	\$5,000		
			Housing Authority Admin & Other		\$5,000		
			Contractor(s)		\$0		
			Subgrantee.		\$0		
			NON-RSDM COSTS		Housing Authority		
	Partners: Ourtown Comm Coll		\$10,000				
TOTAL COSTS			\$10,000	\$10,000	\$20,000		
3	Counseling (Family, Substance Abuse and Youth Mentoring)	RSDM COSTS		Housing Authority Personnel	\$10,000		
			Housing Authority Admin & Other		\$10,000		
			Contractor(s)		\$0		
			Subgrantee		\$0		
			NON-RSDM COSTS		Housing Authority		
	Partners: Family Counseling Serv		\$10,000				
	Ourtown State College		\$10,000				
TOTAL COSTS			\$20,000	\$20,000	\$40,000		
4	Literacy Training	RSDM COSTS		Housing Authority Personnel	\$10,000		
			Housing Authority Admin & Other		\$10,000		
			Contractor(s)		\$0		
			Ourtown Comm Coll Subgrantee		\$160,000		
	NON-RSDM COSTS		Housing Authority		\$0		
		Partner: Ourtown Comm Coll			\$40,000		
	TOTAL COSTS			\$180,000	\$40,000		\$220,000

Sample Chart E: Detailed RSDM Budget (continued)

5	Entrepreneurship Training- Resident Management and Maintenance	RSDM COSTS		Housing Authority Personnel	\$20,000		
			Housing Authority Admin & Other		\$20,000		
			Contractor(s)		\$155,000		
			Subgrantee		\$0		
		NON-RSDM COSTS		Housing Authority		\$0	\$235,000
			Partner: Dept of Soc Serv/TANF			\$20,000	
			Private Industry Council			\$20,000	
		TOTAL COSTS		\$195,000	\$40,000		
6	Health Technician Certificate Training	RSDM COSTS		Housing Authority Personnel	\$15,000		
			Housing Authority Admin & Other		\$15,000		
			Contractor(s)		\$0		
			Ourtown Comm Coll Subgrantee		\$160,000		
		NON-RSDM COSTS		Housing Authority		\$0	
			Partner: Ourtown Comm Coll			\$20,000	
TOTAL COSTS		\$190,000	\$20,000	\$210,000			
7	Job Placement (includes employer incentives)	RSDM COSTS		Housing Authority Personnel	\$2,000		
			Housing Authority Admin & Other		\$50,000		
			Contractor(s)		\$0		
			Subgrantee		\$0		
		NON-RSDM COSTS		Housing Authority		\$0	\$62,000
			Partners: Private Industry Council			\$5,000	
			Samoyed Trust			\$5,000	
			Partner: Ourtown Comm Coll		\$0		
TOTAL COSTS		\$52,000	\$10,000	\$62,000			

Sample Chart E: Detailed RSDM Budget (continued)

8	Transportation	RSDM COSTS		Housing Authority Personnel	\$5,000	
			Housing Authority Admin & Other		\$10,000	
			Contractor(s)		\$0	
			Subgrantee		\$0	
		NON-RSDM COSTS		Housing Authority		\$0
			Partner: Dept of Soc Serv/TANF			\$15,000
			University Hospital			\$15,000
		TOTAL COSTS			\$15,000	\$30,000
9	Child Care	RSDM COSTS		Housing Authority Personnel	\$5,000	
			Housing Authority Admin & Other		\$10,000	
			Contractor(s)		\$140,000	
			Subgrantee		\$0	
		NON-RSDM COSTS		Housing Authority		\$0
			Partner: Dept of Soc Serv/TANF			\$10,000
			TOTAL COSTS			\$155,000

Sample Chart E: Detailed RSDM Budget (continued)

10	Computer Center	RSDM COSTS		Housing Authority Personnel	\$20,000		
			Housing Authority Admin & Other		\$15,000		
			Contractor(s)				
			Subgrantee				
		NON-RSDM COSTS		Housing Authority		\$0	
			Partner: Acquista Corp.			\$10,000	
				TOTAL COSTS		\$35,000	\$10,000
11	Closeout, Audit and Evaluation	RSDM COSTS		Housing Authority Personnel	\$3,000		
			Housing Authority Admin & Other		\$5,000		
			Contractor #1		\$2,500		
			Contractor #2		\$2,500		
			Ourtown State Univ. Subgrantee		\$20,000		
NON-RSDM COSTS		Housing Authority		\$0			
		Partner: Ourtown State Univ.		\$11,250			
		TOTAL COSTS		\$33,000	\$11,250	\$44,250	
		TOTAL RSDM BUDGET					
			BUDGET ITEM		RSDM GRANT COST	NON RSDM COST	TOTAL COST
		RSDM COSTS		Housing Authority Personnel	\$95,000		
			Housing Authority Admin & Other		\$150,000		
			Contractors		\$300,000		
			Subrecipients		\$340,000		
		NON-RSDM COSTS		Housing Authority		\$20,000	
			Partners			\$20,000	
				TOTAL COSTS		\$885,000	\$221,250

Chart E: Detailed RSDM Budget

#	ACTIVITY	BUDGET ITEM		RSDM GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
1		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RSDM COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
2		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RSDM COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
3		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RSDM COSTS		Applicant		
			Partners:			
		TOTAL COSTS				

Chart E: Detailed RSDM Budget (continued)

#	ACTIVITY	BUDGET ITEM		RSDM GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
4		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RSDM COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
5		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RSDM COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
6		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RSDM COSTS		Applicant		
			Partners:			
		TOTAL COSTS				

Chart E: Detailed RSDM Budget (continued)

#	ACTIVITY	BUDGET ITEM		RSDM GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
7		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RSDM COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
8		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RSDM COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
9		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RSDM COSTS		Applicant		
			Partners:			
		TOTAL COSTS				

Chart E: Detailed RSDM Budget (continued)

#	ACTIVITY	BUDGET ITEM		RSDM GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
10		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RSDM COSTS		Applicant		
			Partners:			
		TOTAL COSTS				
11		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee			
		NON-RSDM COSTS		Applicant		
			Partners:			
#	ACTIVITY	BUDGET ITEM		RSDM GRANT FUNDS	PARTNER FUNDS	TOTAL FUNDS
10		RSDM COSTS		Applicant Personnel		
		TOTAL COSTS				
		TOTAL RSDM BUDGET				
			BUDGET ITEM	RSDM GRANT COST	NON RSDM COST	TOTAL COST
		RSDM COSTS		Applicant Personnel		
			Applicant Admin & Other			
			Contractor(s)			
			Subgrantee(s)			
		NON-RSDM COSTS		Applicant		
			Partners			
		TOTAL COSTS				

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____ Date: _____

Rating Factor 3(3): Reasonableness of the Timetable (2 points for Family applicants and 4 points for elderly/disabled applicants)

The score in this factor will be based on the rate of response that you can realistically accomplish the goals of the proposed RSDM program. To receive a high score, you must demonstrate that your program will make substantial progress within the first six months after grant execution including putting staff in place, finalizing partnership arrangements, completing the development of requests for proposals and achieving other milestones that are prerequisites for implementation of the program. In addition you must demonstrate that your proposed timetable for all components of your proposed program is reasonable considering the size of the grant and your activities and that you can accomplish your objectives within the 36-month time limit. More points are awarded in the Elderly/Disabled RSDM application to balance other selections of the rating criteria where points are not applicable to Elderly/Disabled applicants.

Also, complete Chart F, Activity Plan Summary, and a separate Chart G, Activity Breakout, for each activity specified in Chart F.

SAMPLE – Chart F

RSDM ACTIVITY PLAN SUMMARY

Applicant Name: _____

Date: _____

#	PHASE/ACTIVITY	START/END DATE	MILESTONES	PARTICIPATING PARTNERS
I.	Outreach, Recruitment and Assessment	11/1/97 - 3/31/99	To recruit 240 TANF families for employment training and placement.	Resident Assn. Ourtown Comm. College
2.	Rehabilitation of Community Center	11/1/97 - 3/1/98	To render an abandoned building into a functional focus for welfare-to-work.	Housing Authority
3.	Job Readiness and Retention Lifeskills Training-counseling, mentoring and referral to support services.	3/1/98 - 5/31/00	To address pre- and post-employment personal and family growth needs identified by 150 participants.	Family Counseling Services, Ourtown Comm Coll. and Residents Assn.
4.	Literacy Training	3/1/98 - 7/31/99	To provide 120 residents with math and verbal skills needed for successful job or business training.	Ourtown School System, Ourtown Community College
5.	Health Technician Training	5/98 - 11/99 and 8/1/98 to 5/31/00	To train 120 participants for full-time employment at family sustaining wages.	Ourtown Community College, Ourtown Hospital
6.	Entrepreneurship Training - Housing maintenance and management	5/98 - 11/99 and 8/1/98 to 5/31/00	To train 120 participants for full-time self-employment at family sustaining wages.	Private Industry Council (PIC), Dept. of Soc Service\TANF
7.	Job Placement/ Business Startup for trainees	11/1/98 - 5/1/00	To move an estimated 200 trainee graduates to full-time jobs or businesses at sustaining incomes.	PIC, Ourtown Hospital
8.	Transportation	3/1/98 - 5/31/00	To provide transportation needed to offsite training and work opportunities	Dept. of Social Services/ TANF, Ourtown Hospital
9.	Child Care	3/1/98 - 5/31/00	To address preschool (0-5 yrs) and before/after school (6- 12 yrs) child care needs of program participants.	Dept. of Social Services/ TANF, Headstart
10.	Computer Center	3/1/98 - 5/31/00	To use part of the comm- unity center as a computer center for training and other resident uses	Erol's (internet access), Local Industry Inc (com- puters, software)

Overall Program Goal: To enable 200 residents to move from welfare to full-time employment at sustaining incomes.

Chart F
RSDM ACTIVITY/PROGRAM PLAN SUMMARY

Applicant Name: _____

Date: _____

	Phase/Activity	Start/End Date	Milestones	Participating Partner/Activity
1				
2				
3				
4				
5				
6				

Overall Program Objectives: _____

SAMPLE – Chart G
RSDM ACTIVITY BREAKOUT FOR ACTIVITY 1
for Phase / Activity: Outreach, Recruitment, and Assessment

#	ACTIVITY/TASK	START/ END DATE	ORGANIZATIONS INVOLVED/ ROLES
A	Publicity/outreach for Welfare-to-Work Program- Production, door-to-door delivery and posting of brochures and other notices of welfare-to-work program opportunities and of upcoming informational meetings.	2 cycles 11/1/97- 1/1/98 11/1/98- 1/1/99	Housing Authority Only
B	All Resident Meetings- Describe impact of welfare reform on resident lives, opportunities, requirements and schedule for RSDM Welfare-to-Work Program.	1/3/98- 1/10/98 1/3/99- 1/10/99	Housing Authority
C	Follow-up Interviews, Resident sign-up and Housing Authority development of list of 240 program participants.	1/11/98- 2/1/98 1/11/99 2/1/99	Housing Authority
D	Assessment- Interview and assess participant interests, skills and training needs	2/98- 3/98 2/99- 3/99	Ourtown Community College, Social Work and Management Departments will assist Housing Authority
E	Establish or coordinate with Welfare Department for individual plans for counseling/ mentoring, literacy training, job or business training, placement, day care, transportation, and any appropriate referrals.	3/98 3/99	Ourtown Community College, Social Work and Management Departments will assist Housing Authority
F			
G			

Activity Milestone: To recruit 40 TANF families for employment training/placement

Chart G
RSDM ACTIVITY BREAKOUT

for Phase/Activity _____ **Applicant Name:** _____ **Date:** _____

	ACTIVITY/TASK	START DATE END DATE	ORGANIZATIONS INVOLVED/ROLES
A			
B			
C			
D			
E			
F			

Activity Milestone: _____

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____

Date: _____

Rating Factor 3(4): Program Assessment (3 points)

Your score in this factor will be based on the soundness of your plan to evaluate the success of your proposed RSDM program both at the completion of your program and during program implementation. At a minimum, you must track the extent to which goals and objectives of your proposed program are achieved. HUD will rate you more favorably if you can track specific measurable achievements for the use of program funds, such as number of residents employed, salary scales of jobs obtained, persons removed from welfare rolls 12 months or longer, number of elderly or disabled residents receiving supportive services, and number of persons receiving certificates for successful completion of training in careers such as computer technology. To receive a high score, you must provide a comprehensive description of the program assessment system, including: identification of staff designated for program quality control, performance measures, automated systems for collecting program data, and your timetable for undertaking assessment activities.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant Name: _____

Date: _____

Rating Factor 3(5): Resident and Other Partnerships (9 points for family RSDM applicants and 7 points for Elderly/Disabled applicants)

- (a) **Resident Involvement in RSDM Activities (3 points for Family RSDM applicants and 4 points for Elderly/Disabled RSDM applicants).** Describe the extent of proposed resident involvement in developing your proposed RSDM program. To receive a high score for this subfactor, you must provide documentation that describes the involvement of residents in the planning phase of this program, and a commitment to provide continued involvement in the implementation of your proposed activities. To receive the maximum number of points, applicants must include a Memorandum of Understanding (MOU) or other written agreement with PHA, Tribes and TDHEs, and RAs involved as appropriate. (Include relevant MOUs or other written agreements after the narrative that addresses this rating subfactor.)

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____

Date: _____

Rating Factor 3(5) (continued):

- (b) Other Partnerships (3 points). The score in this factor will be based on the successful integration of partners into implementation of the proposed RSDM program. In order to receive a high score, you must provide a signed Memorandum of Understanding or other equivalent signed documentation that delineates the roles and responsibilities of each of the parties in the program and the benefits they will receive. (Include relevant MOUs or other equivalent agreements following the narrative under this rating subfactor.)

Provide a narrative in this section that includes information and is organized as follows:

- 1) Describe the division of responsibilities between you organization and its partners and how you will coordinate with its partners to ensure program success and fulfillment of all partner commitments -- consistent with the more detailed description of the RSDM program management structure; and
- 2) Describe the extent to which the partnership as a whole addresses a broader range of resident needs; and
- 3) Describe the extent to which the addition of the partners provide the ability to meet needs more cost effectively or efficiently than the applicant or its partners could achieve individually without forming the partnership.

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____

Date: _____

Rating Factor 3(5) (continued):

- (c) Overall Relationship Coordination **(3 points – Family RSDM applicants only)**. For your Family RSDM application, your score in this factor will be based on the extent of coordination between your proposed RSDM program and any existing or proposed programs within your jurisdiction. To receive a high score, you must provide a Memorandum of Understanding or other equivalent signed document that describes collaboration between your staff and residents on all of the specific components related to the work plan of both the proposed or current RSDM programs. If there are no existing and no proposed programs within your jurisdiction, the score for this factor will be zero. Elderly/Disabled RSDM applications will not be scored on this criterion. (Include the relevant MOUs or equivalent signed documents following the narrative under this rating subfactor.)

ROSS FY 1999 FUNDING

**RESIDENT SERVICE DELIVERY
MODELS**

TAB 5

Rating Factor 4:

Leveraging Resources

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____ Date: _____

Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses your ability to secure community resources to be combined with HUD program resources to achieve your proposed RSDM program's purposes. HUD will consider the extent to which you have partnered with other entities to secure additional resources to increase the effectiveness of your proposed program activities. Your budget (in Tab 4) must reflect leveraged resources. HUD's rating under this factor will be based on firm commitments of funds or the value of personnel, facilities, equipment, or other in-kind resources. "Firmly committed" means there is a written agreement to provide the resources. The agreement may be contingent on your receiving RSDM funding. (See NOFA, Section V(I), Rating Factor 4.)

Provide detailed narrative information on each partner and their contribution(s). Also, complete Chart H, Program Resources.

(1) Specify the roles and responsibilities of each partner relative to the proposed RSDM program. (Partners that will administer RSDM funds should be designated "subgrantees.")

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Leveraging Resources (continued)

(2) Specify the amount and type of resources and services that your partner firmly commits to contribute to your grant program, including your supplemental grant funds with a cash and/or in-kind contribution match of not less than 25% of the grant amount. In valuing volunteer time or services and donated items, use the following guidelines:

(a) The value of volunteer time and services shall be computed at a rate of \$6.00 per hour, except that the value of volunteer time and service involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate paid for the service in the community where the RSDM activity is located. (See Section V(G)(4).)

(b) The value of any donated material equipment, building, or lease shall be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated. The documentation shall be not more than 1 year old and taken from the community where the item or RSDM activity is located.

Chart H RSDM Program Resources

Applicant Name: _____

Date: _____

Name of Provider/Partner	Activity	Type of Resource	Dollar Value of Resource	Page No. of MOU/MOA	HUD use Only
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
			\$		
Total of Provider/Partner Contributions			\$		
Requested RSDM Grant Funds			\$		
TOTAL PROGRAM RESOURCES			\$		

ROSS FY 1999 FUNDING

**RESIDENT SERVICE DELIVERY
MODELS**

TAB 6

Rating Factor 5:

Comprehensiveness and Coordination

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____ Date: _____

Rating Factor 5: Comprehensiveness and Coordination (10 points)

This factor addresses the extent to which your program reflects a coordinated, community-based process of identifying needs and building a system to address the needs by using available HUD funding resources and other resources available to the community.

Rating Factor 5(1): Coordination with Consolidated Plan (2 points for Family RSDM applicants and 6 points for Elderly/Disabled RSDM applicants).

Provide a narrative that demonstrates you have reviewed the community's Consolidated Plan or Indian Housing Plan, and/or Analysis of Impediments to Fair Housing Choice. Describe how your proposed activities address the priorities, needs, goals, or objectives in those documents, or otherwise substantially further fair housing choice in the community.

Complete the following Certificate of Consistency with the Consolidated Plan.

**CERTIFICATION OF CONSISTENCY WITH THE
CONSOLIDATED PLAN**

**U.S. DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan.

Applicant Name: _____

Project Name: _____

Location of the Project: _____

Name of the Federal Program(s) to
which the applicant is applying: _____

Name of Certifying Jurisdiction: _____

Title: _____

Signature: _____

Date: _____

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____ Date: _____

Rating Factor 5(2): Coordination with State or Tribal Welfare Plan/Community Consolidated Plan/Other Activities (4 points – Family RSDM applicants only).

Your Family RSDM applications must summarize the State or Tribal welfare plan, describe below how your proposed program is consistent with that plan, and complete the following Certification of Consistency with the Consolidated Plan in this Tab. You should demonstrate that you have reviewed your community's Consolidated Plan and Analysis of Impediments to Fair Housing Choice, if one has been conducted, and has proposed activities that address the priorities, needs, goals, and objectives in those documents; or substantially further fair housing choice in the community.

For Tribes/TDHEs, the Indian Housing Plan would be the document to review for this information. To the extent possible, you should also demonstrate that, in carrying out program activities, you will develop linkages with: other HUD-funded program activities proposed or ongoing in the community; or other State, Federal, or locally funded activities proposed or ongoing in the community, which taken as a whole, support and sustain a comprehensive system to address needs.

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

Applicant Name: _____ Date: _____

Rating Factors 5(3): Coordination with other Activities: (4 points for Family RSDM applicants and 6 points for Elderly/Disabled RSDM applicants).

Describe below the extent to which the applicant will develop linkages with other HUD-funded activities or with other Federal, State, tribal or local activities proposed or on-going in the community that, taken as a whole, support and sustain a comprehensive system to address the needs. Indicate the extent to which RSDM funded activities will become part of a comprehensive system to address community needs.

ROSS FY 1999 FUNDING

**RESIDENT SERVICE DELIVERY
MODELS**

TAB 7

Bonus Points for EZ/EC

ROSS FY 1999 FUNDING RESIDENT SERVICE DELIVERY MODELS

Applicant Name: _____ Date: _____

Bonus Points: Location of RSDM Activities in an Enterprise Community or Empowerment Zone

You will receive two bonus points if: (1) your eligible activities or projects are located in high performing federally designated Empowerment Zones, Enterprise Communities, or Urban Enhanced Enterprise Communities; (2) your eligible activities serve EZ/EC residents; and (3) your eligible activities are certified to be consistent with the Strategic Plan of the EZ or EC.

If any of the RSDM activities will be located in or will serve the population of a high performing federally designated Empowerment Zone, Enterprise Community, or Urban Enhanced Enterprise Community, describe the extent to which the activities will be coordinated with the Empowerment Zone or Enterprise Community Strategic Plan. Complete the Certification of Consistency with the Consolidated Plan in Tab 7 and the Certification of Consistency with EZ/EC in this Tab. A list of EZ/EC contacts is listed in this Tab also. (See NOFA, Section V(I).)

**CERTIFICATION OF CONSISTENCY WITH THE
EZ/EC STRATEGIC PLAN**

**U.S. DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

I certify that the proposed activities/projects in this application are consistent with the Strategic Plan of a Federally-designated Empowerment Zone (EZ) and/or Enterprise Community (EC).

Type or clearly print the following information:

Applicant Name: _____

Name of the Federal Program to
which the applicant is applying: _____

Name of EZ/EC: _____

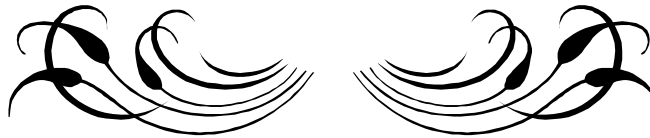
I further certify that the proposed activities/projects will be located within the EZ/EC and serves EZ/EC residents. (2 bonus points)

Name of the Official Authorized
to Certify the EZ/EC: _____

Title: _____

Signature: _____

Date: _____



EZ/EC MAIN CONTACT LIST
High Performers as of August, 1999

Name & City	Phone & Fax Numbers
EMPOWERMENT ZONES (26)	
CA, Los Angeles	
Robert Perez	213-485-5725 (Phone)
City of Los Angeles	213-237-0551 (Fax)
Community Development Department	
215 West 6th Street, Third Floor	
Los Angeles, CA 90014	
David Eder	
City of Los Angeles	213-485-2956 (Phone)
Community Development Department	213-237-0890 (Fax)
215 West 6th Street, Third Floor	
Los Angeles, CA 90014	
CA, Santa Ana, (EZ)	
Ms. Cindy Nelson	714-647-5360 (Phone)
Executive Director	714-647-6549 (Fax)
Community Devel. Agency	
20 Civic Center Plaza - M-25	
Santa Ana, CA 92702	
CT, New Haven (EZ - EC)	
Ms. Diana Edmonds	203-946-7727(Phone)
City of New Haven	203-946-8049 (Fax)
200 Orange Street, 5th Floor	
New Haven, CT 06510	
FL, Miami/ Dade County (EZ - EC)	
Mr. Tony E. Crapp, Sr.	305-375-3431 (Phone)
Office of Economic Development	305-375-3428 (Fax)
140 West Flagler, Suite 1000	
Miami, FL 33130-1561	

GA, Atlanta

Mr. Joseph Reid
Exec. Director
Atlanta EZ Corporation
675 Ponce De Leon Avenue
Second Floor - Suite 2100
Atlanta, GA 30308
www.atlantapd.org/ez/ezfact.html

404-853-7610 (Phone)
404-853-7315 (Fax)

IL, Chicago

Mr. Ronald Carter, Jr.
City of Chicago
20 North Clark Street, 28th Floor
Chicago, IL 60602

312-744-9623 (Phone)
312-744-9696 (Fax)

IN, Gary, E. Chicago (EZ)

Mr. Taghi Arshani
Office of Planning & Community Development
475 Broadway, Suite 318
Gary, IN 46402

219-881-5075 (Phone)
219-881-5085 (Fax)

KY, Kentucky Highlands EZ – Clinton, Jackson, Wayne Counties

Jerry Rickett
Kentucky Highlands Investment Corporation
362 Old Whitley Rd.
London,, KY 40741

606-864-5175 (Phone)
606-864-5194 (Fax)

MD, Baltimore

Ms. Diane Bell
Empower Baltimore Management Corporation
111 S. Calvert Street, Suite 1550
Baltimore, MD 21202

410-783-4400 (Phone)
410-783-0526 (Fax)

MA, Boston (EZ-EEC)

Ms. Juanita Wade
Chief of Human Services
Suite 603
Boston City Hall
Boston, MA 02201

617-635-2953 (Phone)
617-635-3496 (Fax)

Mr. Reginald Nunnally
Boston Business Assistance Center
Boston Empowerment Zone
20 Hampden Street
Boston, MA 02119

617-445-3413 (Phone)
617-445-5675 (Fax)

MI, Detroit

Mr. Paul Bernard
Executive Director
City of Detroit Planning and Development
2300 Cadillac Tower Building
Detroit, MI 48226
www.ezsis.org/commune/detroit/ez/index.htm

313-224-6389 (Phone)
313-224-1629 (Fax)

Denise Gray
Executive Director
Detroit Empowerment Zone Corporation
1 Ford Place, Suite 2D
Detroit, MI 48202

313-872-8050 (Phone)
313-872-8002 (Fax)

MN, Minneapolis (EZ - EC)

Mr. Ken Brunsvold
Office of Grants & Special Project
350 South Fifth Street
City Hall, Room 200
Minneapolis, MN 55415

612-673-2348 (Phone)
612-673-2728 (Fax)

MO, St. Louis/E. St. Louis, IL (EZ-EC)

Mr. Chad Cooper
St. Louis Development Corporation
105 Locust Street, Ste. 1200
St. Louis, MO 63101
st.louis.missouri.org./enterprise/index.html

314-622-3400 (Phone)
314-231-2341 (Fax)

IL, East St. Louis (EC ONLY)

Mr. Percy Harris
City of East St. Louis
301 River Park Dr.
East St. Louis, IL 62201

618-482-6642 (Phone)
618-482-6648 (Fax)

NJ, Cumberland CO. (EZ)

Mr. Stephen Kehs
Executive Director
Cumberland County Dept. of Planning
and Development
800 E. Commerce Street
Bridgeton, NJ 08302

609-453-2175 (Phone)
609-453-9138 (Fax)

New York, NY (Main Contact)

Mr. James Ilaco
Special Counsel and Corporate Secretary
New York Empowerment Zone Corporation
633 3rd Avenue
New York, NY 10017

212-803-3240 (Phone)
212-803-3294 (Fax)

NY, New York (Bronx)

Mr. Jose Ithier
Bronx Overall Economic Development Corporation
198 East 161st Street
Second Floor
Bronx, NY 10451

718-590-3549 (Phone)
718-590-3499 (Fax)

NY, New York (Upper Manhattan)

Ms. Deborah Wright, Director
Upper Manhattan Empowerment Zone
Development Corporation
290 Lenox Avenue, 3rd Flr.
New York, NY 10027

212-410-0030 (Phone)
212-410-9616 (Fax)

OH, Cincinnati (EZ)

Mr. Timothy Sharp
City Hall
801 Plum Street, Room 104
Cincinnati, OH 45202

513-352-2457 (Phone)
513-352-2458/or
513-352-5357 (Fax)

OH, Cleveland

Ms. Yvette Mosby Director
Cleveland Empowerment Zone
601 Lakeside Avenue
City Hall, Room 335
Cleveland, OH 44114

216-664-3083 (Phone)
216-420-8522 (Fax)

OH, Columbus (EZ-EC)

Mr. John Beard
Columbus Compact Corporation
815 East Mound Street
Suite 108
Columbus, OH 43205
www.iwaynet.net/~ccc/

614-251-0926 (Phone)
614-251-2243 (Fax)

OH, Columbus

Mr. Patrick Grady
Economic Development Administrator
99 North Front Street
Columbus, OH 43215

614-645-7574 (Phone)
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PA, Philadelphia /NJ, Camden

Eva Gladstein
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City of Philadelphia
1515 Arch Street, 1 Parkway, 9th Flr.
Philadelphia, PA 19103
www.phila.gov/agencies/empower/emzone.html

215-683-0462 (Phone)
215-683-0493 (Fax)

Mr. Richard Cummings
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Camden Empowerment Zone Corporation
412 North Second Street
Camden, NJ 08104

609-541-2836 (Phone)
609-541-8457 (Fax)

Mr. Brian Finnie
City of Camden Empowerment Zone
Corp.
800 Hudson Square, Suite 300
Camden, NJ 08102

609-365-0300 (Phone)
609-365-1058 (Fax)

SC, Sumter, Columbia (EZ)

Ms. Leona Plough
Assistant City Manager
City of Columbia
Dept. of Community Service
1225 Laurel Street
Columbia, SC 29201

803-733-8313 (Phone)
803-733-8312 (Fax)

TN, Knoxville (EZ)

Ms. Jeanette Kelleher
Community Development Administrator
City/County Building
400 Main Street, Room 514
Knoxville, TN 37902

423-215-2120 (Phone)
423-215-2962 (Fax)

TX, Rio Grande Valley EZ (Cameron, Hidalgo, Starr, Willacy Counties)

Bonnie Gonzalez
Rio Grande Valley Empowerment Zone
301 S. Texas
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210-514-4000 (Phone)
210-514-4007 (Fax)

TX, El Paso (EZ-EC)

Ms. Deborah G. Hamlyn
City of El Paso
#2 Civic Center Plaza, 9th Floor
El Paso, TX 79901-1196

915-541-4643 (Phone)
915-541-4370 (Fax)

VA, Norfolk/Portsmouth (EZ-EC)

Ms. Eleanor R. Bradshaw
Norfolk Works
201 Granby Street, Ste. 100A
Norfolk, VA 23510

757-624-8650 (Phone)
757-622-4623 (Fax)

WV, Huntington/Ironton, OH (EZ-EC)

Ms. Cathy Burns
Community Development and Planning
800 Fifth Avenue, Suite 14
P.O. Box 1659
Huntington, WV 25717

304-696-4486 (Phone)
304-696-4465 (Fax)

ENHANCED ENTERPRISE COMMUNITIES (4)

CA, Oakland

Mr. William Claggett

Executive Director

510-238-3303 (Phone)

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510-238-6538 (Fax)

Community & Economic Devel. Agency

City of Oakland

250 Frank H. Ogawa Plaza, Ste. 3330

Oakland, CA 94612-2032

Mr. Lonnie Carter

Community & Economic Devel. Agency

City of Oakland

510-238-3716 (Phone)

250 Frank H. Ogawa Plaza, Ste. 3315

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KS, Kansas City and MO, Kansas City (EEC-Strategic Planning Comm.)

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816-474-4240 (Phone)

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600 Broadway

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MA, BOSTON (SEE EZ)

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713-247-2666 (Phone)

Mayor's Office

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901 Bagby Street

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ENTERPRISE COMMUNITIES

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205-254-2541 (Fax)

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AZ, Arizona Border Region EC – Cochise, Santa Cruz, Yuma Counties

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Imperial County Community Economic Development
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CO, Denver

Mr. Ernest Hughes
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303-640-4636 (Fax)

CT, Bridgeport

Ms. Janice Willis
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City of Bridgeport Central Grants Office
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District of Columbia

Ms. Madiene Hall
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District of Columbia

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Mr. James Walker
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FL, Jackson County EC

William Rimes
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Marianna, FL 32447

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2105 N. Nebraska Avenue
Tampa, FL 33605
www.hud.gov/local/tam/tam_eceez.html

813-274-7959 (Phone)
813-274-7927 (Fax)

GA, Albany

Julie Duke
City Manager's Office
225 Pine Avenue
Albany, GA 31701

912-431-3234 (Phone)
912-431-3223 (Fax)

GA, Central Savannah River Area EC (Burke, Hancock, Jefferson, McDuffie, Tallafero, Warren Counties)

Grady Sampson
CSRA Regional Development Center
P.O. 40 4729 Quaker Rd., Suite C
Keysville, GA 30816

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706-554-6626 (Fax)

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217-789-2380 (Fax)

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Grants Manager

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Ms. Amy Arnold
Grants Analyst
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Indianapolis, IN 46204

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317-327-5908 (Fax)

KY, Louisville (EC-Strategic Planning Comm.)

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601 West Jefferson St.
Louisville, KY 40202

502-574-4210 (Phone)
502-574-4201 (Fax)

LA, Macon Ridge EC – Catahoula, Concordia, Franklin, Morehouse, Tensas Counties

Buddy Spillers and Chip Rogers
Macon Ridge Economic Development Region, Inc.
903 Louisiana Ave.,
P.O. Drawer 746
Ferriday, LA 71334

318-757-3033 (Phone)
318-757-4212 (Fax)

LA, New Orleans (EC-Strategic Planning Comm.)

Ms. Thelma H. French
Office of Federal and State Programs
1300 Perdido Street, Room 2E10
New Orleans, LA 70112

504-565-6414 (Phone)
504-565-6423 (Fax)

LA, Northeast Louisiana Delta EC – Madison County

Moses Junior Williams
Northeast Louisiana Delta EC
400 E. Craig St., Suite B
Tallulah, LA 71282

318-574-0995
318-574-0995

LA, Ouachita Parish

Mr. Eric Loewe
Ouachita Community Enhancement Zone, Inc.
P.O. Box 4268
Monroe, LA 71211

318-329-4031 (Phone)
318-329-4034 (Fax)

MA, Lowell

Ms. Sue Beaton
Department of Planning and Development
City Hall- JFK Civic Center
50 Arcand Drive
Lowell, MA 01852

978-970-7150 (Phone)
978-446-7014 (Fax)

MA, Springfield

Mr. Miguel Rivas
Community Development Department
36 Court Street
Springfield, MA 01103

413-787-7666 (Phone)
413-787-6027 (Fax)

MI, Flint

Mr. Larry Foster
Township of Mount Morris
G-5447 Bicentennial Parkway
Mount Morris Township, MI 48458
www.flint.umich.edu/departments/pura/stratzo.htm

810-785-9138 (Phone)
810-785-2545 (Fax)

Ms. Nancy Jurkiewicz
City of Flint
1101 South Saginaw Street
Flint, MI 48502

810-766-7436 (Phone)
810-766-7351 (Fax)

MI, Muskegon

Ms. Cathy Brubaker-Clarke
City of Muskegon
Economic Development Department
933 Terrace Street
Muskegon, MI 49443

616-724-6702 (Phone)
616-724-6790 (Fax)

Ms. Reatha Anderson
Department of Planning and Community Development
2724 Peck Street
Muskegon Heights, MI 49444

616-733-1355 (Phone)
616-733-7382 (Fax)

MN, St. Paul

Ms. Harriet Horwath
City of St. Paul
Planning and Economic Development
25 West Fourth Street
St. Paul, Minnesota 55102

651-266-6591 (Phone)
651-228-3341 (Fax)

MO, City of East Prairie/Mississippi County EC

Martha Ellen Black
Epworth Bootheel Family Learning Center
207 N. Washington St.
East Prairie, MO 63845

573-649-3731 (Phone)
573-649-5028 (Fax)

MS, North Delta EC (Panola, Quitman, Tallahatchie Counties)

Queen Booker
North Delta Enterprise Community Development Corporation
P.O. Drawer 419
Lambert, MS 38643-0419

601-497-1968 (Phone)
601-487-3595 (Fax)

NC, Charlotte

Ms. Deborah D. Hazzard
Neighborhood Development Department
600 East Trade Street
Charlotte, NC 28202

704-336-2106 (Phone)
704-336-2527 (Fax)

Stanley Watkins
Key Business Executive & Neighborhood
Development
600 East Trade Street
Charlotte, NC 28202

704-336-3796 (Phone)
704-336-3904 (Fax)

NC, Halifax, Edgecombe, Wilson Counties EC

Barry Richardson
Halifax/Edgecombe/Wilson Empowerment Alliance
P.O. Box 99
Hollister, NC 27844

919-586-4017
919-586-3918

NC, Robeson County EC

Cammie Fluery
Lumber River Council of Governments
4721 Fayetteville Rd.
Lumberton, NC 28358

910-618-5533 (Phone)
910-618-5576 (Fax)

NE, Omaha

Mr. Scott Knudsen
City of Omaha
1819 Farnam Street
Suite 1100
Omaha, NE 68183
www.ci.omaha.ne.us

402-444-5381 (Phone)
402-444-6140 (Fax)

NH, Manchester

Ms. Amanda Parenteau
City of Manchester
889 Elm Street, 5th Floor
Manchester, NH 03101

603-624-2111 (Phone)
603-624-6308 (Fax)

NJ, Newark (EC-Strategic Planning Comm.)

Ms. Angela Corbo
Department of Administration
City Hall, Room B-16
920 Broad Street
Newark, NJ 07102

973-733-4331 (Phone)
973-733-3769 (Fax)

NM, Albuquerque

Ms. Sylvia Fettes
Family & Community Services Department
400 Marquette, NW, Ste. 504
Albuquerque, NM 87103

505-768-2860 (Phone)
505-768-3204 (Fax)

NM, La Jicarita EC (Mora, Rio, Arriba, Taos Counties)

Kelley Fahey
La Jicarita Ent. Comm., c/o Helping Hands, Inc.
P.O. Box 777
Mora, NM 87732

505-387-2293 (Phone)
505-387-2289 (Fax)

NV, Las Vegas (EC- Strategic Planning Comm.)

Ms. Yvonne Gates
Clark County Commissioners Office
500 South Grand Central Parkway
P.O. Box 551601
Las Vegas, NV 89155-1601

702-455-3239 (Phone)
702-383-6041 (Fax)

Ms. Jennifer Padre
Southern Nevada Enterprise Community
500 South Grand Central Parkway
P.O. Box 551212
Las Vegas, NV 89155-1212

702-455-5025 (Phone)
702-455-5038 (Fax)

NY, Albany/Troy/Schenectady

Mr. Anthony Tozzi
Center for Economic Growth
One Key Corp Plaza
Suite 600
Albany, NY 12207

518-465-8975 (Phone)
518-465-6681 (Fax)

NY, Buffalo

Ms. Paula Rosner
Buffalo Enterprise Development Corporation
617 Main Street
Buffalo, NY 14202
www.buffalodevelopment.com

716-842-6923 (Phone)
716-842-6942 (Fax)

NY, Newburgh/Kingston

Ms. Allison Lee
The Kingston-Newburgh Enterprise Corp.
62 Grand Street
Newburgh, NY 12550

914-569-1680 (Phone)
914-569-1630 (Fax)

NY, Rochester

Ms. Valerie Wheatley
Staff assistant to the Deputy Mayor
City of Rochester
Room 205A, City Hall
30 Church Street
Rochester, NY 14614

716-428-7207 (Phone)
716-428-7069 (Fax)

OH, Akron

Mr. Jerry Egan
Department of Planning & Urban Development
166 South High Street
Akron, OH 44308-1628
www.ci.akron.oh.us/plud03.html

330-375-2090 (Phone)
330-375-2387 (Fax)

OH, Greater Portsmouth EC – Scioto County

Alex Maksimovic
City of Portsmouth Community Development Department
740 2nd St.
Portsmouth, OH 45662

614-354-5673 (Phone)

OK, Oklahoma City

Mr. Carl Friend
Oklahoma City Planning Department
420 West Main Street, Suite 920
Oklahoma City, OK 73102

405-297-2574 (Phone)
405-297-3796 (Fax)

OK, Southeast Oklahoma EC (Choctaw and McCurtain Counties)

Bob Yandell
Little Dixie Community Action Agency, Inc.
502 West Duke St.
Hugo, OK 74743

405-326-6441 (Phone)
405-326-6655 (Fax)

OR, Josephine County EC

Teal Kinamun
Josephine County Community Service-Comm. Action Agency
317 Northwest B St.
Grants Pass, OR 97526

503-474-5448 (Phone)
503-474-5454 (Fax)

OR, Portland

Ms. Regena S. Warren
Multnomah County
421 SW Sixth Avenue, Suite 700
Portland, OR 97204
www.netc.org/ec

503-248-3691 (Phone)
Ext. 28134
503-248-3379 (Fax)

PA, City of Lock Haven EC – Clinton County

Maria Boileau
City of Lock Haven
20 E. Church St.
Lock Haven, PA 17745

717-893-5903 (Phone)
717-893-5905 (Fax)

PA, Harrisburg EC

Ms. JoAnn Partridge
City of Harrisburg
MLK City Government Center
10 North Second Street, Ste. 206
Harrisburg, PA 17101-1681

717-255-6424 (Phone)

PA, Pittsburgh

Ms. Joan Blaustein
City Planning Dept.
City of Pittsburgh
200 Ross Street, 4th Floor
Pittsburgh, PA 15219

412-255-2206 (Phone)

412-255-2838 (Fax)

RI, Providence EC

Ms. Kim Rose
Providence Plan
56 Pine Street, Suite 3B
Providence, RI 02903

401-455-8880 (Phone)

401-331-6840 (Fax)

SC, Charleston/North Charleston EC

Ms. Patricia W. Crawford
Housing / Community Development
75 Calhoun Street
Division 616
Charleston, SC 29401-3506

803-724-7347 (Phone)

803-724-7354 (Fax)

SC, Williamsburg/Lake City EC

Faith Rivers
Williamburg Enterprise Community
147 W. Main St.
Kingstree, SC 29556

803-354-9070 (Phone)

803-354-2106 (Fax)

SD, Beadle/Spink Dakota EC

Robert Hull
Northeast South Dakota Community Action Program
414 Third Ave.
Sisseton, SD 57262

605-698-7654 (Phone)

605-698-3038 (Fax)

TN, Fayette County/Haywood County EC

John Sicola
The Fayette Haywood Enterprise Community Steering Committee
157 Poplar Rd., Rm. B150
Memphis, TN 38103

901-576-4610 (Phone)

901-576-3519 (Fax)

TN, Scott/McCreary Area EC (Scott, TN and McCreary, KY)

Leslie Winningham
Scott McCreary Area Revitalization Team (SMART)
407 Industrial Lane, Suite 2
Oneida, TN 37841

423-569-6380 (Phone)
423-569-5710 (Fax)

TX, Dallas EC

Mr. Mark Obeso
Empowerment Zone Manager
1500 Marilla, 2B South
Dallas, TX 75201

214-670-4897 (Phone)
214-670-0158 (Fax)

TX, San Antonio EC

Mr. Curley Spears
City of San Antonio
419 South Main, Suite 200
San Antonio, TX 78204

210-207-6600 (Phone)
210-886-0006 (Fax)

TX, Waco EC

Mr. Charles Daniels
City of Waco
P.O. Box 2570
Waco, TX 76702-2570

254-750-5640 (Phone)
254-750-5880 (Fax)

UT, Ogden EC

Ms. Karen Thurber
Ogden City Neighborhood Development
2484 Washington Blvd., Ste 211
Ogden, UT 84401

801-629-8943 (Phone)
801-629-8902 (Fax)

VT, Burlington EC

Mr. Brian Pine
Office of Community Development
City Hall, Room 32
Burlington, VT 05401

802-865-7232 (Phone)
802-865-7024 (Fax)

VA, Accomack EC – Northampton Counties

Monte Penney
The Economic Empowerment & Housing Corporation
P.O. Box 814
Nassawadox, VA 23413

804-442-4509 (Phone)
804-442-7530 (Fax)

WA, Lower Yakima County Rural EC

Dave Fontara
Yakima County
128 North Second St.
Yakima, WA 98901
Phone: Fax:

509-574-1500 (Phone)
509-574-1501 (Fax)

WA, Seattle

Mr. Charles Depew
City of Seattle
Seattle Municipal Building
Second Floor
Seattle, WA 98104-1826

206-684-0208 (Phone)
206-684-0379 (Fax)

WA, Tacoma

Dr. Shirl E. Gilbert II
Tacoma Empowerment Consortium
1101 Pacific Avenue
Tacoma, WA 98402

253-274-1288 (Phone)
253-274-1289 (Fax)

WV, Central Appalachia EC (Braxton, Clay, Fayette, Nicholas, Roane Counties)

Terrell Ellis
Central Appalachia Empowerment Zone
174 Main St.
P.O. Box 176
Clay, WV 51215

304-587-2034 (Phone)
304-587-2027 (Fax)

WV, McDowell County EC

Cliff Moore
McDowell County Action Network
Route 103
Wilcoe, WV 24895

304-448-2118 (Phone)
304-448-3287 (Fax)

WI, Milwaukee EC

Mr. Glen Mattison
Community Block Grant Administration
City Hall, Room 606
200 East Wells Street
Milwaukee, WI 53202

414-286-3760 (Phone)
414-286-5003 (Fax)

**Round 2 Rural Empowerment Zones/Enterprise Communities Contact List
As of July 1999**

Name**Phone & Fax Numbers****Empowerment Zones****CA, Desert Communities**

John Thurman
Riverside County Economic Development Agency
46-209 Oasis Street, 2nd Floor
Indio, CA 92201

760-863-8225 (Phone)

GA, Southwest Georgia United

Kim Sheffield
Executive Director
P.O. Box 587
Cordele, GA 31010

912-273-9111 (Phone)

IL, Southernmost Illinois Delta

Donna Raynalds
Alexander, Pulaski, and Johnson
Empowerment Zone Steering Committee
219 Rustic Campus Drive
Ullin, IL 62992

618-634-9471 (Phone)

618-634-9452 (Fax)

ND, Griggs-Steele

Irvin Rustad
Director
Lake Agassiz Regional Development Corporation
417 Main Avenue
Fargo, ND 58103

701-235-1197 (Phone)

SD, Oglala Sioux Tribe

Darrel M. Twiss
Business and Economic Development Committee
PO Box A2
Pine Ridge, SD 57770

605-867-5771 (Phone)

Enterprise Communities**AK, Metlakatla Indian**

Timothy Gilmartin
Mayor
Metlakatla Indian Community
P.O. Box 8
Metlakatla, AK 99926-0008

907-886-4441 (Phone)

907-886-3338 (Fax)

AZ, NM, UT, Four Corners

Larry Rodgers
Acting Chairman
c/o Division of Economic Development
Four Corners Empowerment Zone Corporation
PO Box 663
Window Rock, AZ 86515

435-678-1468 (Phone)

435-678-1464 (Fax)

CA, Central California

Zak Gonzalez
City Administrator
The Central Committee of the Central
California Enterprise Committee
633 Sixth Street
Orange Cove, CA 93646

209-626-5100 (Phone)

FL, Empowerment Alliance of Southwest Florida

Barbara J. Kent
Executive Director
The Community Foundation of Collier County
2400 Tamiami Trail North, #300
Naples, FL 34103

941-649-5000 (Phone)

HI, Molokai

Karen M. Holt
Executive Director
The Moloka'i Community Service Council
P.O. Box 1046
Kaunakakai, HI 96748

808-553-3244 (Phone)

IN, Town of Austin

Lanny McIntosh
Town Council President
Austin Enterprise Community Board
80 West Main Street
Austin, IN 47102

812-794-2877 (Phone)
812-794-2859 (Fax)

KS, Wichita County

Sharla Krenzel
Director
Wichita County Economic Development
P.O. Box 345
Leoti, KS 67861

316-375-2182 (Phone)
316-375-4350 (Fax)

KY, Bowling Green

Charlotte Mathis
Grants Manager
City of Bowling Green Housing and
Community Development Department
P.O. Box 430
Bowling Green, KY 42102-0430

502-393-3000 (Phone)

ME, City of Lewiston

John C. Bott
Grants Coordinator/Project Leader
City of Lewiston
27 Pine Street
Lewiston, ME 04240

207-784-2951, ext. 315 (Phone)
207-784-2959 (Fax)

MI, Clare County

Timothy Wolverton
Clare County Administrator
Clare County Board of Commissioners
225 West Main Street
Harrison, MI 48625

517-539-2510 (Phone)
517-539-2588 (Fax)

MT, Fort Peck Assiniboine and Sioux Tribe

Susan Parker
Planning Development Center
Fort Peck Tribes
PO Box 1027
Poplar, MT 59255

406-768-5155, ext. 321 (Phone)
406-768-5478 (Fax)

NM, City of Deming

John Strand
Administrator
City of Deming
PO Box 706
Deming, NM 88031

505-546-8848 (Phone)

OK, Tri-County Indian Nations

Billie J. Floyd
Executive Director
Tri-County Indian Nation Community
Development Corporation
Rt. 7, Box 238
Ada, OK 74820

580-332-3257 (Phone)

PA, Fayette

Debra Hanna
National City Bank Building
Fay-Penn Economic Development Council
2 West Main Street, Suite 407
Uniontown, PA 15401

724-437-7913 (Phone)
724-437-7315 (Fax)

SC, Allendale County ALIVE

Joe Vuknic
Chairman
P.O. Box 25
Allendale, SC 29810

803-584-7117 (Phone)

TN, Clinch-Powell

Marvin Hammond
Chairman
Clinch-Powell Resource Conservation
& Development Council
PO Box 379
Rutledge, TN 37861

423-828-5927 (Phone)

423-828-5212 (Fax)

TX, FUTURO

Tammye Carpinteyro
Economic Development Director
Middle Rio Grande Development Foundation, Inc.
101 Courthouse Square
Cotulla, TX 78014

830-879-4212 (Phone)

830-879-3267 (Fax)

WA, Five Star

Mr. Warren Jimenez
Tri-County Economic Development District
347 West Second, Suite A
Colville, WA 99114

509-684-4571 (Phone)

509-684-4788 (Fax)

WI, Northwoods Nijii

Gale Kruger
Executive Director-Office of Economic Development
Menominee Indian Tribe of Wisconsin
4 Loop Road
P.O. Box 910
Keshena, WI 54135-0910

715-799-5128 (Phone)

715-799-4525 (Fax)

WV, Upper Kanawha Valley

Gregory K. Lipscomb, AICP
The Kanawha County Commission
East Kanawha County Courthouse
407 Virginia Street
Charleston, WV 25336

304-357-0570 (Phone)

ROSS FY 1999 FUNDING

RESIDENT SERVICE DELIVERY MODELS

TAB 8

CERTIFICATIONS AND ASSURANCES

**ROSS FY 1999 FUNDING
RESIDENT SERVICE DELIVERY MODELS**

OTHER CERTIFICATIONS AND ASSURANCES

Insert the following signed forms in this tab. Blank copies of these forms can be found in Part VII of this application kit.

- ☐ Assurances – Non-Construction Programs (Form SF-424B)
- ☐ Certification for a Drug-Free Workplace (Form HUD–50070)
- ☐ Applicant/Recipient Disclosure/Update Report (Form HUD-2800)
- ☐ Applicant's Disclosure on Lobbying Activities
- ☐ Disclosure of Lobbying Activities (Form SF- LLL)
- ☐ Certification of Payments to Influence Federal Transactions (Form HUD-50071)
- ☐ Certification or Disbarment and Suspension (Form HUD–2992)
- ☐ Acknowledgement of Application Receipt

ROSS FY 1999 FUNDING

PART VI

SERVICE COORDINATORS FOR ELDERLY AND PERSONS WITH DISABILITIES

ROSS FY 1999 FUNDING SERVICE COORDINATORS

OVERVIEW

PROGRAM DESCRIPTION

The Service Coordinator program for the elderly and/or persons with disabilities provides funding for the employment and support of service coordinators in public housing developments designated for the elderly and/or persons with disabilities. These elderly and disabled service coordinators help residents obtain supportive services that are needed to enable independent living and aging in place.

Only renewals of prior Public Housing Elderly and Disabled Service Coordinator grants will be funded under this NOFA; **no** applications for new Service Coordinator grants will be accepted. (See Section VI of the NOFA for specific requirements for this funding category.)

ELIGIBLE DEVELOPMENTS AND PARTICIPANTS

To be eligible, a development must have elderly and/or persons with disabilities who together total at least 25% of the building's residents.

ELIGIBLE APPLICANTS

- This funding category provides grants to PHAs with developments designated for the elderly and persons with disabilities.
- A PHA may not apply for elderly and disabled service coordinator funding if it has an expiring elderly Service Coordinator or EDSS grant and has spent less than 75% of the prior grant by the publication date of the NOFA.

ELIGIBLE ACTIVITIES

Service Coordinator grant funds may be used for the following activities:

- Service coordinator. Grant funds from this category may be used to pay for the salary, fringe benefits, and related administrative costs for employing a service coordinator. A Service Coordinator is a social service staff person hired or contracted by the PHA. The coordinator is responsible for assuring that elderly residents, especially those who are frail or at risk, and those non-elderly residents with disabilities are linked to the supportive services they need to continue living independently in that development. The Service

Coordinator, however, may not require any elderly person or person with disabilities to accept the supportive services. For the purposes of this program, a Service Coordinator is any person who is responsible for one or more of the following functions:

- Working with community service providers to coordinate the provision of services and to tailor the services to the needs and characteristics of eligible residents;
 - Establishing a system to monitor and evaluate the delivery, impact, effectiveness and outcomes of supportive services under this program;
 - Coordinating this program with other independent living or self-sufficiency, education and employment programs;
 - Performing other duties and functions to assist residents to remain independent, and to prevent unnecessary institutionalization; and
 - Mobilizing other national and local public/private resources and partnerships.
- Administrative costs. Such uses of Service Coordinator grant funds may include, but are not limited to, purchase of furniture, office equipment and supplies, training, quality assurance, travel, and utilities. Administrative costs must not exceed 20% of the total grant costs.

INELIGIBLE COSTS

Applicants may not use these monies to replace current funding from other sources for a Service Coordinator or for some other staff person who performs Service Coordinator functions. Furthermore, the cost of application preparation is not an eligible use of Service Coordinator grant funds.

GRANT TERM

The grant term for the Service Coordinator category is 12 months from the execution date of the grant agreement.

MAXIMUM GRANT AMOUNT

The grant amount for the Service Coordinator category cannot exceed the highest amount approved for a one-year period of the most recently funded Service Coordinator grant of the applicant. HUD will approve an increase up to 2 percent over this amount if supported by a narrative justification.

JOINT APPLICATIONS

Two more PHAs may join together to share a service coordinator and so submit joint applications. Joint applications must designate a lead applicant. Funding for a joint application may not exceed the stated maximum grant for this category.

APPLICATION SELECTION PROCESS

PHAs must address all application requirements, meet the threshold requirements set forth in the NOFA, and submit all of the required information. The applicants identified by the GMC as meeting threshold and application requirements will be funded on a first-come, first-serve basis for up to 30 days from the publication date of the NOFA or until funds are exhausted.

WHO DOES SERVICE COORDINATION?

Service coordination may be performed by:

- An on-site or off-site staff person hired by the PHA.
- An on-site or off-site staff person hired by a third party agency and contracted to the PHA.
- A staff person hired by a third party agency, who provides case management and services coordination in concert with the distribution of that agency or another agency's funding.

ADMINISTRATIVE COSTS

Administrative costs may not exceed 20% of the total grant amount. Administrative costs include, but are not limited to, purchase of furniture, office equipment and supplies, training, quality assurance, travel, and utilities. Quality assurance is a limited monitoring oversight of the service coordinator by a qualified third party.

ROSS FY 1999 FUNDING SERVICE COORDINATORS

APPLICANT CHECKLIST

Use this checklist to review your package and insure all materials are properly completed and included. Submit a copy of this form with the request to HUD.

- ☐ **Cover Materials (See Part II of this application kit for forms in this tab.)**
 - ☐ Application checklist
 - ☐ Request Letter
 - ☐ Lead agency letter form (if applicable)
 - ☐ Application for Federal Assistance - Standard Form (SF) 424

- ☐ **TAB 1 Threshold Requirements**
 - ☐ Elderly Housing Development Certification
 - ☐ Accessible Community Facility evidence and description
 - ☐ Match Requirement
 - ☐ SC Applicant Certification

- ☐ **TAB 2 Certifications and Assurances (See Part VII of this application kit.)**
 - ☐ Standard Form (SF) 424 B for Non-Construction Programs
 - ☐ Drug-Free Workplace Certification (HUD-50070)
 - ☐ Certification Regarding Lobbying (SF-LLL)
 - ☐ Applicant/Recipient Disclosure Update Report (HUD-2880)
 - ☐ Submit certification of non-duplication of funding request

ROSS FY 1999 FUNDING SERVICE COORDINATORS

Applicant:_____ **Date:**_____

Request Letter

Please prepare and include a request letter on your organization's letterhead, signed by the executive director or other authorized person. If the application is a joint application, each agency must prepare and include a request letter. The required format is shown on the following pages.

In addition to the latter, attach evidence of:

- Comparable salaries in the applicant's area; and
- If applicable, a written justification to increase the grant amount 2% over the highest funding and staffing level for a one-year period approved for the applicant's last funding Service Coordinator grant.

Before preparing the application, the applicant should make sure it is eligible to apply for Service Coordinator funds. Make sure also that the development(s) to be served is (are) eligible.

**ROSS FY 1999 FUNDING
SERVICE COORDINATORS**

REQUEST LETTER FORMAT

Dear _____ Date: _____
Director, Public Housing

The following is my request for a one-year Service Coordinator renewal grant. I am requesting a total grant amount of \$_____.

I. APPLICANT AND DEVELOPMENT(S)

1. PHA name and address:

2. Development name(s) and address(s):

_____	_____
_____	_____
_____	_____

3. Development number(s) and Congressional District(s):

_____	_____
_____	_____
_____	_____

4. Do you have a FY 1995 Elderly Service Coordinator grant? ____Yes ____No.

**ROSS FY 1999 FUNDING
SERVICE COORDINATORS**

**REQUEST LETTER FORMAT
(continued)**

II. DEVELOPMENT INFORMATION

1. Total Number of Units Occupied by the Elderly and/or Persons with Disabilities: ____.
2. Total Number of Residents: ____.
3. Estimated Number Frail Elderly and Persons with Disabilities: ____.
4. Estimated Number At-Risk Elderly: ____.
5. Applicant will contract out for a Service Coordinator. ____Yes ____No
6. Development will share a Service Coordinator with other development(s) or applicant(s). ____Yes ____No

If yes, please give name and address of the development(s) and applicant(s), if different.

_____	_____
_____	_____
_____	_____

7. Total number of Service Coordinators to be funded by the grant funds: ____.

**ROSS FY 1999 FUNDING
SERVICE COORDINATORS**

**REQUEST LETTER FORMAT
(continued)**

III. COSTS

FY 1999 award amounts cannot be higher than the applicant's highest funding and staffing level approved for a one-year period for the applicant's last funded Service Coordinator grant. An increase of up to 2% will be allowed if supported by a narrative justification attached to this Request Letter.

1. Salary Rate

- a. Determine the base salary level, looking at comparable positions (modified by number of hours worked).

Base salary level \$_____

- b. Fringe benefits

% of base salary _____%

Dollar value \$_____

- c. Salary rate

\$_____ + \$_____ = \$_____
base salary fringe benefits salary rate

**ROSS FY 1999 FUNDING
SERVICE COORDINATORS**

**REQUEST LETTER FORMAT
(continued)**

III. COSTS (continued)

2. Administrative Costs

Any administrative costs may amount to no more than 20% of the total grant.

Item	Amount
_____	\$ _____
_____	\$ _____
_____	\$ _____
Total:	\$ _____

**ROSS FY 1999 FUNDING
SERVICE COORDINATORS**

**REQUEST LETTER FORMAT
(continued)**

III. COSTS (continued)

3. Total Cost

One-year total costs:

Allowable administrative costs	\$ _____	+
Annual salary rate	\$ _____	=
Total Cost	\$ _____	.

We appreciate your consideration of this request. If there are any questions, your staff may call _____ at _____ for further information.

Sincerely,

Signature

Typed Name

Title

**ROSS FY 1999 FUNDING
SERVICE COORDINATORS**

**TRANSMITTAL LETTER FORMAT FOR DESIGNATED
LEAD AGENCY**

If more than one public housing agency is proposing to share a service coordinator, one agency **must** designate itself the "lead." This agency must submit a letter following this format on organization letterhead, signed by an authorized person.

Dear _____
Director, Public Housing

Date

The ___(fill in name of owner or PHA)___ for ___(fill in development name and city)___ is requesting grant funds to hire a Service Coordinator.

This request includes _____ (specify the number) developments, which will share a Service Coordinator. The developments are:

<u>Development Name and Address</u>	Amount Requested (\$)
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

The completed requests from each of these ___(specify number)___ applicants are attached to this letter.

Sincerely,

Signature

Typed Name

Title

ROSS FY 1999 FUNDING

SERVICE COORDINATORS FOR ELDERLY AND PERSONS WITH DISABILITIES

TAB 1

THRESHOLD REQUIREMENTS

**ROSS FY 1999 FUNDING
SERVICE COORDINATORS**

Applicant:_____ **Date:**_____

THRESHOLD REQUIREMENTS

See NOFA, Section VI(H) and VII

The Grants Management Center (GMC) will conduct a threshold review to determine your eligibility. Under the threshold review, you will be rejected from the competition if you are not in compliance with the threshold requirements.

1. Elderly Housing Development Certification. You must certify that at least 25% of the residents in the development(s) proposed for grant activities are elderly and/or non-elderly persons with disabilities at the time of the application.

**SERVICE COORDINATOR
ELDERLY HOUSING DEVELOPMENT CERTIFICATION**

I CERTIFY that ____% of the residents in the development(s) proposed for grant activities are elderly and/or non-elderly people with disabilities at the time of application; thereby meeting or exceeding the 25% requirement.

Signed this _____ day of _____, 1999

By: _____
Applicant Executive Director or other Authorized Representative

For: _____
Applicant Name

Verified by: _____ Date _____
For GMC

ROSS FY 1999 FUNDING SERVICE COORDINATORS

Applicant:_____ Date:_____

2. Accessible Community Facility. You must provide evidence (**e.g., an executed use agreement if the facility will be provided by an entity other than your organization**) that a majority of your proposed activities will be administered at community facilities within easy transportation access of your property. The facilities must be within walking distance or accessible by direct (i.e., no transfers required), convenient, inexpensive, and reliable transportation. Any community facilities must meet the structural accessibility requirements of Section 504 of the *Rehabilitation Act* and the *Americans with Disabilities Act*.

Provide a description of the location where training and other activities will be held. Describe where the facility is located in relation to the development(s) to be served, the days and hours of operation, how transportation needs to the facility will be addressed, and how the facility will be accessible to persons with disabilities. Also describe whether the facility to be used is currently in operation, if not, what steps will be taken to adequately operate the facility.

Attach an executed agreement between the applicant and other entity providing community facilities.

ROSS FY 1999 FUNDING SERVICE COORDINATORS

Applicant: _____ **Date:** _____

3. Match Requirement. You must supplement grant funds with a cash and/or in-kind contribution match of not less than at least 25% of the grant amount. The match may include: the value of in-kind services, contributions or administrative costs provided to you; funds from Federal sources (but not ROSS, TOP, EDSS, or Service Coordinator funds); funds from any State or local government sources; and funds from private contributions. See NOFA section VI(H)(3)(c) for guidelines on valuing in-kind contributions.

Your application must demonstrate that the resources and services you will use as match amounts (including resources from your Comprehensive Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit) are firmly committed and will support your proposed grant activities. "Firmly committed" means there must be a written agreement to provide the resources and services signed by an official legally able to make commitments on behalf of the organization. The written agreement may be contingent upon you receiving a grant award. Resources from your agency are presumed to be firmly committed.

Attach all separate firm commitments that equal at least 25% of the SC grant amount requested.

**ROSS FY 1999 FUNDING
SERVICE COORDINATORS**

Applicant: _____ **Date:** _____

4. Compliance with Current Programs. The applicant must provide a certification that it is not in default at the time of application with respect to grants for the Family Investment Center program; the Youth Development Initiative under the Family Investment Center program; the Youth Apprenticeship Program; the Apprenticeship Demonstration in the Construction Trades program; the Public Housing Drug Elimination Program; the Youth Sports program; the Tenant Opportunities Program; or the Economic Development and Supportive Services program.

**SERVICE COORDINATOR
PROGRAM COMPLIANCE CERTIFICATION**

I CERTIFY that my response to the following three questions are correct:

1. Is there any current HUD declaration of default against your organization for failure to meet any contractual obligation?
YES or NO (Please circle one.) (Explain any "YES" response.)
2. Are there any unresolved HUD Office of Inspector General Findings against your organization?
YES or NO (Please circle one.) (Explain any "YES" response.)
3. Are there any unresolved HUD Fair Housing and Equal Opportunity monitoring review findings or HUD Field Office management review findings against your organization?
YES or NO (Please circle one.) (Explain any "YES" response.)

Signed this _____ day of _____, 1999

By: _____
Applicant Executive Director or other Authorized Representative

For: _____
Applicant Name

Verified by: _____ Date: _____
For GMC

ROSS FY 1999 FUNDING SERVICE COORDINATORS

Applicant: _____ Date: _____

5. Compliance with Civil Rights Requirements. You must be in compliance with all Fair Housing and civil rights laws, statutes, regulations, and executive orders as enumerated in 24 CFR 5.105(a). Federally recognized Indian tribes must comply with the *Age Discrimination Act of 1975* and the *Indian Civil Rights Act*. If you, the applicant, (a) have been charged by the Secretary with a systematic violation of the *Fair Housing Act*, (b) are the defendant in a *Fair Housing Act* lawsuit filed by the Department of Justice, or (c) have received a letter of noncompliance findings under Title VI of the *Civil Rights Act*, Section 504 of the *Rehabilitation Act*, or Section 109 of the *Housing and Community Development Act*, then HUD will not rank and rate your application under the NOFA if the charge, lawsuit, or letter of findings has not been resolved to the satisfaction of HUD before the application deadline. Complete the following certification. (See NOFA, Sections VII(A), VII(B), and VIII(A).)

**ROSS FY 1999 FUNDING
SERVICE COORDINATOR**

CERTIFICATION OF CONSISTENCY AND COMPLIANCE

I CERTIFY that the proposed Service Coordinator activities will be consistent with the following and comply with all statutes, regulations, and U.S. Department of Housing and Urban Development guidance related to the following:

1. **Economic Opportunities for Low and Very Low-Income Persons.** Section 3 of the *Housing and Urban Development Act of 1968*, 12 U.S.C. sec. 1791u, Economic Opportunities for Low and Very Low-Income Persons; HUD regulations at 24 CFR part 135, including but not limited to subpart E and G reporting requirements; and any Section 3 employment, housing opportunity, or other plan adopted by the Housing Agency.
2. **Fair Housing.** Affirmative duty to further fair housing, including elimination of impediments to fair housing; the local jurisdiction or regional Analysis of Impediments to Fair Housing Choice; and the affirmative duty to carry out activities proposed specifically in the SC application to address the furtherance of fair housing.
3. **Uniform Relocation.** *Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, as amended (URA) and implementing regulations at 49 CFR part 24.
4. **Nondiscrimination.** The *Americans with Disabilities Act*, Title IX of the *Education Amendments Act of 1972*, the *Fair Housing Act*, Title VI of the *Civil Rights Act of 1964*, the *Equal Pay Act*, Section 504 of the *Rehabilitation Act of 1973*, the *Age Discrimination Employment Act of 1967*, and the *Age Discrimination Act of 1975*.
5. **Cost Principles.** OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations) or OMB Circular No. A-87 (Cost Principles for Local Units of Government), as appropriate.
6. **Administrative Requirements.** The administrative requirements of 24 CFR part 84 or part 85, as appropriate.

Signed this _____ day of _____, 1999.

By: _____
Applicant Chief Executive Officer or Other Authorized Representative

For: _____
Applicant

Verified by: _____ Date _____
For GMC

ROSS FY 1999 FUNDING

**SERVICE COORDINATORS FOR
ELDERLY AND PERSONS WITH
DISABILITIES**

TAB 2

CERTIFICATIONS AND ASSURANCES

ROSS FY 1999 FUNDING SERVICE COORDINATORS

CERTIFICATIONS AND ASSURANCES

Insert in this tab the following signed forms from Part VII of the application kit:

- ❑ Standard Form (SF) 424 B for Non-Construction Programs
- ❑ Drug-Free Workplace Certification (HUD-50070)
- ❑ Certification Regarding Lobbying (SF-LLL)
- ❑ Applicant/Recipient Disclosure Update Report (HUD-2880)
- ❑ Certification of Non-Duplication of Funding Request

ROSS FY 1999 FUNDING

PART VII

OTHER CERTIFICATIONS AND ASSURANCES

APPENDICES

ROSS Certifications and Assurances

Attached are the blank certifications and assurances to be completed and included in this Tab with your ROSS application.

- Assurances—Non-Construction Programs (SF-424 B)
- Certification for a Drug-Free Workplace (Form HUD-50070)
- Applicant/Recipient Disclosure/Update Report (Form HUD-2880)
- Applicant's Disclosure on Lobbying Activities
- Disclosure of Lobbying Activities (SF-LLL)
- Disclosure of Lobbying Activities Continuation Sheet (SF-LLL-A)
- Certification of Payments to Influence Federal Transactions (Form HUD-50071)
- Certification Regarding Disbarment and Suspension (Form HUD-2992)
- Certification of Non-Duplication of Funding Request (Service Coordinators only)
- Acknowledgement of Application Receipt

Also included is a list of HUD Field Offices and Area ONAP offices, and description of the ten Federal regions.

Assurances—Non-Construction Programs

OMB Approval No. 0348-0040

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.O. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 36701 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (e) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of

project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the national Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Program/Activity Receiving Federal Grant Funding

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.

(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Title

Signature

Date

X

Applicant/Recipient Disclosure/Update Report

**U.S. Department of Housing
and Urban Development**
Office of Ethics

OMB Approval No. 2510-0011
& 2506-0167 (exp. 1/31/99)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 4.)

Part I Applicant/Recipient Information

Indicate whether this is an Initial Report ☐

or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code)

Social Security Number or
Employer ID Number

2. Project Assisted/ to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State)

3. Assistance Requested/Received

4. HUD Program

5. Amount Requested/Received	
\$	

Part II. Threshold Determinations -- Applicants Only

1. Are you requesting HUD assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, **and** have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted?

☐ Yes☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign the certification below and answer the next question.

I hereby certify that this information is true. (Signature) _____ Date _____

2. Is this application for a specific housing project that involves other government assistance?

☐ Yes☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign this certification.

I hereby certify that this information is true. (Signature) _____ Date _____

If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

Part III. Other Government Assistance Provided/Requested

Department/State/Local Agency Name and Address	Program	Type of Assistance	Amount Requested/Provided

Is there other government assistance that is reportable in this Part and in Part V, but that is reported only in Part V? ☐ Yes ☐ No

If there is no other government assistance, you must certify that this information is true.

I hereby certify that this information is true. (Signature) _____ Date _____

Part IV. Interested Parties

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)	Social Security Number or Employee ID Number	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

If there are no persons with a reportable financial interest, you must certify that this information is true.
I hereby certify that this information is true. (Signature) _____ Date _____

Part V. Report on Expected Sources and Uses of Funds

Source

If there are no sources of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) _____ Date _____

Use

If there are no uses of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) _____ Date _____

Certification

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosure of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

I certify that this information is true and complete.

Signature	Date
-----------	------

Public reporting burden for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collection displays a valid OMB control number.

Privacy Act Statement. Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §12.34.

Note: This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

Instructions (See Note 1 on last page.)

I. Overview. Subpart C of 24 CFR Part 12 provides for (1) initial reports from applicants for HUD assistance and (2) update reports from recipients of HUD assistance. An overview of these requirements follows.

A. Applicant disclosure (initial) reports: General. All applicants for assistance from HUD for a specific project or activity must make a number of disclosures, if the applicant meets a dollar threshold for the receipt of covered assistance during the fiscal year in which the application is submitted. The applicant must also make the disclosures if it requests assistance from HUD for a specific housing project that involves assistance from other governmental sources. Applicants subject to Subpart C must make the following disclosures:

- Assistance from other government sources in connection with the project,
- The financial interests of persons in the project,
- The sources of funds to be made available for the project, and
- The uses to which the funds are to be put.

B. Update reports: General. All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

C. Applicant disclosure reports: Specific guidance. The applicant must complete all parts of this disclosure form if **either** of the following **two** circumstances in paragraph 1. or 2., below, applies:

1.a. Nature of Assistance. The applicant submits an application for assistance for a specific project or activity (See Note 2) in which:

HUD makes assistance available to a recipient for a specific project or activity; or

HUD makes assistance available to an entity (other than a State or a unit of general local government), such as a public housing agency (PHA), for a specific project or activity, where the application is required by statute or regulation to be submitted to HUD for any purpose; **and**

b. Dollar Threshold. The applicant has received, or can reasonably expect to receive, an aggregate amount of all forms of assistance (See Note 3) from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted. (See Note 4)

2. The applicant submits an application for assistance for a specific housing project that involves other government assistance. (See Note 5) **Note:** There is no dollar threshold for this criterion: **any** other government assistance triggers the requirement. (See Note 6)

If the Application meets **neither** of these two criteria, the applicant need only complete Parts I and II of this report, as well as the certification at the end of the report. If the Application meets **either** of these criteria, the applicant must complete the entire report.

The applicant disclosure report must be submitted with the application for the assistance involved.

D. Update reports: Specific guidance. During the period in which an application for covered assistance is pending, or in which the assistance is being provided (as indicated in the relevant grant or other agreement), the applicant must make the following additional disclosures:

1. Any information that should have been disclosed in connection with the application, but that was omitted.
2. Any information that would have been subject to disclosure in connection with the application, but that arose at a later time, including information concerning an interested party that now meets the applicable disclosure threshold referred to in Part IV, below.
3. For changes in previously disclosed other government assistance:

For programs administered by the Assistant Secretary for Community Planning and Development, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed by \$250,000 or by 10 percent of the assistance (whichever is lower).

For all other programs, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed.

4. For changes in previously disclosed financial interests, any change in the amount of the financial interest of a person that exceeds the amount of the previously disclosed interests by \$50,000 or by 10 percent of such interests (whichever is lower).

5. For changes in previously disclosed sources or uses of funds:

a. For programs administered by the Assistant Secretary for Community Planning and Development:

Any change in a source of funds that exceeds the amount of all previously disclosed sources of funds by \$250,000 or by 10 percent of those sources (whichever is lower); and

Any change in a use of funds under paragraph (b)(1)(iii) that exceeds the amount of all previously disclosed uses of funds by \$250,000 or by 10 percent of those uses (whichever is lower).

b. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a source of funds that was previously disclosed.

For all other projects, any change in a source of funds that exceeds the lower of:

The amount previously disclosed for that source of funds by \$250,000, or by 10 percent of the amount previously disclosed for that source, whichever is lower; or

The amount previously disclosed for all sources of funds by \$250,000, or by 10 percent of the amount previously disclosed for all sources of funds, whichever is lower.

c. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a use of funds that was previously disclosed.

For all other projects, any change in a use of funds that exceeds the lower of:

The amount previously disclosed for that use of funds by \$250,000, or by 10 percent of the amount previously disclosed for that use, whichever is lower; or

The amount previously disclosed for all uses of funds by \$250,000, or by 10 percent of the amount previously disclosed for all uses of funds, whichever is lower.

Note: Update reports must be submitted within 30 days of the change requiring the update. The requirement to provide update reports only applies if the application for the underlying assistance was submitted on or after the effective date of Subpart C.

II. Line-by-Line Instructions.

A. Part I. Applicant/Recipient Information.

All applicants for HUD assistance specified in Section I.C.1.a., above, as well as all recipients required to submit an update report under Section I.D., above, must complete the information required by Part I. The applicant/recipient must indicate whether the disclosure is an initial or an update report. Line-by-line guidance for Part I follows:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.

2. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.

3. Applicants describe the HUD assistance referred to in Section I.C.1.a. that is being requested. Recipients describe the HUD assistance to which the update report relates.

4. Applicants enter the HUD program name under which the assistance is being requested. Recipients enter the HUD program name under which the assistance, that relates to the update report, was provided.

5. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.

Note: In the case of Mortgage Insurance under 24 CFR Subtitle B, Chapter II, the mortgagor is responsible for making the applicant disclosures, and the mortgagee is responsible for furnishing the mortgagor's disclosures to the Department. Update reports must be submitted directly to HUD by the mortgagor.

Note: In the case of the Project-Based Certificate program under 24 CFR Part 882, Subpart G, the owner is responsible for making the applicant disclosures, and the PHA is responsible for furnishing the owner's disclosures to HUD. Update reports must be submitted through the PHA by the owner.

B. Part II. Threshold Determinations — Applicants Only

Part II contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

1. The first question asks whether the applicant meets the Nature of Assistance and Dollar Threshold requirements set forth in Section I.C.1. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct, and to complete the next question.

2. The second question asks whether the application is for a specific housing project that involves other government assistance, as described in Section I.C.2. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct.

If the answer to both questions 1 and 2 is No, the applicant need not complete Parts III, IV, or V of the report, but must sign the certification at the end of the form.

C. Part III. Other Government Assistance.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports. Applicants must report any other government assistance involved in the project or activity for which assistance is sought. Recipients must report any other government assistance involved in the project or activity, to the extent required under Section I.D.1., 2., or 3., above.

Other government assistance is defined in note 5 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available. Include at least one organizational level below the agency name. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
2. Enter the program name and any relevant identifying numbers, or other means of identification, for the other government assistance.
3. State the type of other government assistance (e.g., loan, grant, loan insurance).
4. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).

If the applicant has no other government assistance to disclose, it must certify that this assertion is correct.

To avoid duplication, if there is other government assistance under this Part and Part V, the applicant/recipient should check the appropriate box in this Part and list the information in Part V, clearly designating which sources are other government assistance.

D. Part IV. Interested Parties.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

Applicants must provide information on:

- (1) All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
- (2) any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Recipients must make the additional disclosures referred to in Section I.D.1., 2., or 4, above.

Note: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses of all persons referred to in paragraph (1) or (2) of this Part. If the person is an entity, the listing must include the full name of each officer, director, and principal stockholder of the entity. All names must be listed alphabetically, and the names of individuals must be shown with their last names first.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

If the applicant has no persons with financial interests to disclose, it must certify that this assertion is correct.

5. Part V. Report on Sources and Uses of Funds. This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

The applicant disclosure report must specify all expected sources of funds — both from HUD and from any other source — that have been, or are to be, made available for the project or activity. Non-HUD sources of funds typically include (but are not limited to) other government assistance referred to in Part III, equity, and amounts from foundations and private contributions. The report must also specify all expected uses to which funds are to be put. All sources and uses of funds must be listed, if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the source or use will be forthcoming.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

General Instructions — sources of funds

Each reportable source of funds must indicate:

- a. The name and address, city, State, and zip code of the individual or entity making the assistance available. At least one organizational level below the agency name should be included. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
- b. The program name and any relevant identifying numbers, or other means of identification, for the assistance.
- c. The type of assistance (e.g., loan, grant, loan insurance).

Specific instructions — sources of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each source of funds must indicate the total amount of approved, and received; and must be listed in descending order according to the amount indicated.

(2) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each source of funds must indicate the total amount of funds involved, and must be listed in descending order according to the amount indicated.

(3) If Tax Credits are involved, the report must indicate all syndication proceeds and equity involved.

General instructions—uses of funds.

Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as “total structure” to include a number of structural costs, such as roof, elevators, exterior masonry, etc.

Specific instructions -- uses of funds.

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each use of funds must indicate the total amount of funds involved; must be broken down by amount committed, budgeted, and planned; and must be listed in descending order according to the amount indicated.

(ii) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each use of funds must indicate the total amount of funds involved and must be listed in descending order according to the amount involved.

(iii) If any program administered by the Assistant Secretary for Housing-Federal Housing Commissioner is involved, the report must indicate all uses paid from HUD sources and other sources, including syndication proceeds. Uses paid should include the following amounts.

AMPO

Architect's fee — design

Architect's fee — supervision

Bond premium

Builder's general overhead

Builder's profit

Construction interest

Consultant fee

Contingency Reserve

Cost certification audit fee

FHA examination fee

FHA inspection fee

FHA MIP

Financing fee

FNMA / GNMA fee

General requirements

Insurance

Legal — construction

Legal — organization

Other fees

Purchase price

Supplemental management fund

Taxes

Title and recording

Operating deficit reserve

Resident initiative fund

Syndication expenses

Working capital reserve

Total land improvement

Total structures

Uses paid from syndication must include the following amounts:

Additional acquisition price and expenses

Bridge loan interest

Development fee

Operating deficit reserve

Resident initiative fund

Syndication expenses

Working capital reserve

Footnotes:

1. All citations are to 24 CFR Part 12, which was published in the Federal Register on March 14, 1991 at 56 Fed. Reg. 11032.
2. A list of the covered assistance programs can be found at 24 CFR §12.30, or in the rules or administrative instructions governing the program involved. Note: The list of covered programs will be updated periodically.
3. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).
4. See 24 CFR §§12.32 (a)(2) and (3) for detailed guidance on how the threshold is calculated.
5. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
6. For further guidance on this criterion, and for a list of covered programs, see 24 CFR §12.50.
7. For purposes of Part 12, a person means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.

APPLICANT'S DISCLOSURE ON LOBBYING ACTIVITIES

Sign the Standard Form LLL, Disclosure of Lobbying Activities and include them in the application. Section 319 of Public Law 101-121 prohibits recipients of Federal contracts, grants, and loans from using appropriated funds for lobbying the Executive or Legislative Branches of the Federal Government. A common rule governing the restrictions on lobbying was published as an interim rule on February 26, 1990 (55 FR 6736), and supplemented by a Notice published June 15, 1990 (55 FR 24540). The rule requires applicants for and recipients of assistance exceeding \$100,000 to certify that no Federal funds have been or will be spent on lobbying activities in connection with the assistance. The rule also requires disclosures from applicants and recipients if non-appropriated funds have been spent or committed for lobbying activities if those activities would be prohibited if paid with appropriated funds. The law provides substantial monetary penalties for failure to file the required certification or disclosure. This does not apply to Indian tribes or TDHEs, tribal organizations, or any other Indian organization with respect to expenditures specifically permitted by other Federal law that are not covered by the definition of person in 24 CFR Part 87.

Attached is Standard Form LLL. Complete and include this form in the ROSS application.

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for Instructions.)

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency .

1. Type of Federal Action (enter appropriate letter) <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		2. Status of Federal Action (enter appropriate letter) <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		3. Report Type (enter appropriate letter) <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only year _____ quarter _____ date of last report _____	
4. Name and Address of Reporting Entity <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known Congressional District , if known				5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime Congressional District , if known	
6. Federal Department/Agency				7. Federal Program Name/Description CFDA Number , if applicable	
8. Federal Action Number , if known				9. Award Amount , if known \$ _____	
10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI)				b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI)	
11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.				Signature Print Name Title Telephone No. Date	
Federal Use Only				Authorized for Local Reproduction Standard Form-LLL (1/96)	

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Certification of Payments
to Influence Federal Transactions

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

Applicant Name

Program/Activity Receiving Federal Grant Funding

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.
This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.
Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Form with fields for Name of Authorized Official, Title, Signature, and Date. The Signature field contains an 'X' mark.

Certification Regarding Debarment and Suspension

U.S. Department of Housing and Urban Development

Certification A: Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

1. The prospective primary participant certifies to the best of its knowledge and belief that its principals;

a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal debarment or agency;

b. Have not within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (A)

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of these regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines this eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph (6) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification B: Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Certification (B)

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms **covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded**, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of these regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph (5) of these instructions, if a participant in a lower covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

Applicant		Date
Signature of Authorized Certifying Official		Title

**CERTIFICATION OF NON-DUPLICATION
OF FUNDING REQUEST**

**U.S. DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

(Service Coordinator Applicants Only)

As the authorized signatory of the below-named public housing agency, I certify/understand that in the event that this Service Coordinator grant application is funded and the Housing Agency also has an Elderly/Disabled Economic Development and Supportive Services (EDSS) grant from FY 1998 or FY 1998 carryover for the below-named development(s), that the public housing agency will not use EDSS funds to pay for a Service Coordinator. Therefore, if awarded funding under both programs, the executed grant agreement will be contingent upon a non-duplication of funding.

Public Housing Agency

Development(s) to be served by the Service Coordinator

Executive Director Signature

Date

Executive Director Name (Typed)

**ACKNOWLEDGEMENT OF
APPLICATION RECEIPT**

**U.S. DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

Type or clearly print the Applicant's name and full mailing address in the space below.

(Fold Line)

Type or clearly print the following information:

Name of the Federal Program to which the applicant is applying: _____

To Be Completed by HUD

HUD received your application by the deadline and will consider it for funding. In accordance with Section 103 of the Department of Housing and Urban Development Reform Act of 1989, no information will be released by HUD regarding the relative standing of any applicant until funding announcements are made. However, you may be contacted by HUD after initial screening to permit you to correct certain application deficiencies.

HUD did not receive your application by the deadline; therefore, your application will not receive further consideration. Your application is:

Enclosed

Being sent under separate cover

Processor's Name _____

Date of Receipt _____

HUD'S PUBLIC HOUSING AREA OFFICES

HUD Field Offices

NEW ENGLAND REGION

BOSTON

JAMES WALLACE

Office of Public Housing
DHUD - Massachusetts State Office
Thomas P. O'Neill, Jr. Federal Building
10 Causeway Street, Room 553
Boston, MA 02222-1092
(617) 565-5197 fax (617) 565-5257

HARTFORD

Office of Public Housing
DHUD - Connecticut State Office
19th Floor
One Corporate Center
Hartford, CT 06103-3220
(860) 240-4800 or (860) 240-4850

MANCHESTER

ROBIN GAGNIN

Office of Public Housing
DHUD - New Hampshire State Office
Norris Cotton Federal Building
275 Chestnut Street
Manchester, NH 03101-2487
(603) 666-7470 or fax (603) 666-7714

PROVIDENCE

JAMES WALLACE FROM BOSTON (CRI)

Office of Public Housing
DHUD - Rhode Island State Office
10 Weybosset Street, 6th Floor
Providence, RI 02903-3234
(401) 528-5372 or (401) 528-5370

NEW YORK/NEW JERSEY REGION

NEW YORK

JED ABRAMS

Office of Public Housing
DHUD - New York State Office
26 Federal Plaza, Suite 32-116
New York, New York 10278-0068
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Region 10

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Idaho
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Washington



Tuesday
August 10, 1999

Part V

**Department of
Housing and Urban
Development**

**Notice of Funding Availability: Resident
Opportunities and Self Sufficiency (ROSS)
Program; Notice**

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-4520-N-01]

Notice of Funding Availability: Resident Opportunities and Self Sufficiency (ROSS) Program (Formerly Economic Development and Supportive Services, Tenant Opportunities Program and Public Housing Service Coordinators)**AGENCY:** Office of Public and Indian Housing, HUD.**ACTION:** Notice of funding availability (NOFA).**SUMMARY:****Purpose of Program**

The purpose of ROSS is to link services to public and Indian housing residents by providing grants for supportive services, resident empowerment activities and activities to assist residents in becoming economically self-sufficient.

Available Funds

Approximately \$66.6 million is being made available for the ROSS Program under this NOFA.

Eligible Applicants

Grants may be made to Public Housing Agencies (PHAs) on behalf of public housing residents, or directly to resident management corporations, resident councils, or resident organizations (including nonprofit entities supported by residents). Intermediary Resident Organizations (IROs) and those non-profits that operate associations and networks that administer programs benefiting public and assisted resident organizations are also eligible recipients for ROSS funding categories where specifically noted in this NOFA. Indian Tribes (Tribes) and Tribally designated housing entities (TDHEs) are eligible for grants under the Technical Assistance/ Training Support for Resident Organizations and Resident Service Delivery Models (RSDM) funding categories.

Application Deadline

Completed applications (one original and two copies) must be submitted by the time described in section I. of this NOFA, below, on: October 12, 1999 for Resident Management and Business Development; October 12, 1999 for Capacity Building and/or Conflict Resolution; November 8, 1999 for Resident Service Delivery Models; and September 9, 1999 for Service Coordinators.

Match

All grants require a match of at least 25% of the grant amount. This match does not have to be a cash match. It can be in-kind and/or cash contributions.

Additional Information

If you are interested in applying for funding under any of these programs, please review carefully the following information.

I. Application Due Date, Application Kits, Further Information and Technical Assistance**Application Due Date**

Except for the Resident Service Delivery Models funding category, eligible applications will be funded on a first-come, first-served basis, and applicants are urged to make their submissions as soon as possible before the due dates listed above.

(1) Mailed Applications (Other than Overnight or Express Mail Delivery)

Your application will be considered timely filed if postmarked before midnight, local time, on the application due date and received on or within ten (10) days of the application due date.

(2) Applications Sent by Overnight/ Express Mail Delivery

Applications sent by overnight delivery or express mail will be considered timely filed if received before or on the application due date, or upon submission of documentary evidence that they were placed in transit with the overnight delivery service by no later than the specified application due date.

(3) Hand Carried Applications

Applications must be delivered by 6:00 pm local time on the due date. Hand carried applications will be accepted during normal business hours before the application due date. On the application due date, business hours will be extended to 6:00 pm.

Address for Submitting Applications

By the application due date an original and one copy of the application must be received at the Grants Management Center (GMC); one copy must be received at the local Field Office with delegated public or assisted housing responsibilities attention: Director, Office of Public Housing, or, in the case of Indian Tribes/TDHEs, an original and one copy to ONAP, Denver Program Office, 1999 Broadway, Suite 3390, Denver, CO 80202. Applications, other than those from Tribes/TDHEs, should be sent to the GMC at the

following address: Grants Management Center, Attention: Director, 501 School Street, SW, Suite 800, Washington, DC 20024. A list of HUD Field Offices is included in the application kit for this NOFA.

For Application Kits

For an application kit and any supplemental information please call the PIH Information and Resource Center at 1-800-955-2232. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209. The application kit also will be available on the Internet through the HUD web site at <http://www.hud.gov>. When requesting an application kit, please refer to ROSS and provide your name, address (including zip code), and telephone number (including area code).

For Further Information and Technical Assistance

For answers to your questions, you have several options. For ROSS and any of its funding categories, you may call the local HUD field office with delegated responsibilities over the pertinent housing agency/authority. Answers may also be obtained by calling the Public and Indian Housing Information and Resource Center at 1-800-955-2232. Information on this NOFA may also be obtained through the HUD web site on the Internet at <http://www.HUD.gov>.

II. Amount Allocated**(A) Total Amount**

Approximately \$66.6 million in funding is being made available under this NOFA. This amount is comprised of approximately \$40 million from the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1999, (Pub. L. 105-276, 112 Stat. 2461, approved October 21, 1998), (FY 1999 Appropriations Act), and approximately \$26.6 million of carryover funds from the Departments of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 1998 (Pub. L. 105-65, 111 Stat. 1344, approved October 27, 1997), (FY 1998 Appropriations Act).

(B) Allocation

To the extent that there are a sufficient number of qualified applications, not less than 25% percent of funds available for ROSS shall be provided directly to resident councils, resident organizations, and resident management corporations. This requirement will be implemented by the awards made to resident organizations for the Technical Assistance/Training

Support for Resident Organizations and the Resident Service Delivery Models funding categories.

III. General Program Description; Funding Categories

(A) General Program Description

The Quality Housing and Work Responsibility Act of 1998 (the Public Housing Reform Act) (title V of the FY 1999 Appropriations Act) institutes various public housing reforms aimed at creating mixed income communities. Reforms contained in the Public Housing Reform Act will: reduce the costs of public and assisted housing by streamlining regulations; facilitate the formation of local partnerships; leverage State, local, and private resources; and uphold and protect residents' right to organize and empower themselves to improve their own communities. Specific provisions grant Public Housing Agencies (PHAs) increased flexibility to develop local solutions to address housing needs, but they are required to use that flexibility to better serve their residents by creating healthier, more economically integrated communities. Several initiatives are intended to enhance the quality of life for public housing residents while promoting self-sufficiency and personal responsibility in communities.

Section 538 of the Public Housing Reform Act adds a new section 34 to the United States Housing Act of 1937 which provides a mandate to link services and public housing residents for economic self-sufficiency. The Resident Opportunities and Self Sufficiency (ROSS) Program responds to this initiative by redefining, restructuring and consolidating certain aspects of previous programs while incorporating objectives contained in the Public Housing Reform Act.

The newly enacted legislative authority formally recognizes a vital connection between providing housing delivery and other services that are necessary for improvements in the quality of life for public housing residents. Through ROSS the Department will programmatically address essential links of services to public housing residents. The purpose of ROSS is to provide linkages to public housing residents by providing supportive services, resident empowerment activities and assisting residents in becoming economically self-sufficient. This program purpose is consistent with the Department's goal to most effectively focus resources on "welfare to work" and on independent living for the elderly and persons with disabilities. HUD believes that it is

imperative that housing authorities and residents work together to meet the challenge of welfare reform.

Under the ROSS Program, priority will be given to funding those models that are successful models and may have proven themselves on a limited basis in practical situations. The ROSS Program seeks to provide assistance to implement practical solutions within the grant term, thereby delivering results in the form of improved economic self-sufficiency for public housing residents. This philosophy should be reflected in the proposed grant activities for all funding categories within the ROSS program.

As indicated in section II., above, of this NOFA, the funding sources for this first ROSS Program NOFA are the FY 1997 Appropriations Act, the FY 1998 Appropriations Act and the FY 1999 Appropriations Act, specifically, from funds made available under these Acts for Economic Development and Supportive Services (EDSS), the Tenant Opportunities Program (TOP), and Public Housing Service Coordinators. HUD has determined that these programs are sufficiently similar to the new ROSS Program under section 34 of the 1937 Act to permit the funds appropriated for them to be made available under ROSS. However, the specific statutory provisions under the FY 1997, 1998 and 1999 Appropriations Acts that apply to the use of these funds must still be observed, even though they do not appear in section 34. For example, Indian Tribes and TDHEs are eligible for funding under the FY 1998 and 1999 Appropriations Acts, and they are eligible under this NOFA although section 34 does not mention them. Similarly, the provisions in this NOFA that Section 8 recipients may be among those participating or receiving benefits are taken from the Appropriations Acts; section 34 only permits public housing residents, not Section 8 recipients, to participate and receive benefits. HUD anticipates that funding in subsequent appropriations acts will be specifically targeted for section 34, and the "blending" of requirements to address statutory provisions, as in this NOFA, will not be necessary.

(B) Funding Categories

The following are funding categories under ROSS:

(1) Technical Assistance/Training Support for Resident Organizations

(a) *Resident Management and Business Development.* Resident Management and Business Development grants will be made directly to resident organizations and to Tribes/TDHEs that

partner with Tribal resident organizations (ROs) and Tribal resident management corporations (RMCs) to: increase resident involvement and participation in their housing developments; develop resident management opportunities; provide resident-led business or cooperative development opportunities; and obtain necessary supportive services for self-sufficiency. (See section IV.(A) of this NOFA for a specific requirements for this funding category.)

(b) *Resident Capacity Building and/or Conflict Resolution.* The Resident Capacity Building funding category provides grants to Intermediary Resident Organizations (IROs) on behalf of public housing residents, which include Public Housing Site-Based Resident Councils; Resident Management Corporations; and Tribes/TDHEs on behalf of tribal housing residents, Tribal ROs and Tribal RMCs; and those non-profits which operate associations and networks that administer programs that benefit public and Tribal housing resident organizations, for assistance to site-based resident associations who do not yet have the capacity to administer a welfare-to-work program or conduct management activities. The funds will be used to help establish new resident organizations or enhance the capacity of existing organizations to enable them to participate in housing agency decision-making, manage all or a portion of their developments, and/or apply for and administer grants. (See section IV.(B) of this NOFA for specific requirements for this funding category). The Conflict Resolution (CR) funding category provides assistance to Intermediary Resident Organizations (IROs), Tribes/TDHEs that partner with Tribal resident organizations and Tribal resident management corporations, and those non-profits which operate associations and networks that administer programs that benefit public and Tribal housing resident organizations, to partner with professional mediators to resolve conflicts involving public housing residents, tribal housing residents, and/or site-based resident associations. (See section IV.(B) of this NOFA for a specific requirements for this funding category.)

(2) Resident Service Delivery Models

The Resident Service Delivery Models (RSDM) funding category provides grants to Public Housing Agencies (PHAs), Indian Tribes and Tribally designated housing entities (TDHEs) on behalf of public and Tribal housing residents, or directly to resident management corporations, resident

councils, or resident organizations, including nonprofit entities supported by residents. There are two types of grants: (1) Family—program related and supportive services to establish and implement comprehensive programs that achieve resident self-sufficiency for families, or (2) Elderly and Disabled— independent living for the elderly and persons with disabilities. (See section V. of this NOFA for a specific requirements for this funding category.)

(3) Service Coordinator Renewals

The Service Coordinator grant category provides resources to PHAs to address the needs of public housing residents who are elderly and disabled persons. Service coordinators help residents obtain supportive services that are needed to enable independent living. Only renewals of prior Public Housing Elderly and Disabled Service Coordinator grants will be funded under this NOFA; no applications for new Service Coordinator grants will be accepted. (See section VI. of this NOFA for a specific requirements for this funding category.)

(C) Number of Applications Permitted

Each applicant may submit no more than one application under this NOFA. The only exception is that applicants for Service Coordinator Renewal grants under section VI. of this NOFA may also apply in one additional funding category. To avoid a duplication of funding, in any funding category listed here (Resident Management and Business Development; Capacity Building, Conflict Resolution; Resident Service Delivery Models—Family, Resident Service Delivery Models—Elderly/Disabled), there may be no more than one application per PHA development. (i.e., a PHA and one of its RAs may not both successfully submit an application for a Resident Service Delivery Models' Family grant to serve the same development.)

IV. Technical Assistance/Training Support for Resident Organizations

(A) Resident Management and Business Development

(1) Program Description

These grants are available to establish and strengthen organizational capacity for site-based resident associations that do not have the capacity to administer a welfare-to-work program or conduct management activities.

(2) Amount Allocated

(a) A total of \$6 million, of which \$500,000 is for Tribes/TDHEs that partner with Tribal ROs and Tribal

RMCs, is being made available for awards to qualified applicants for Resident Management and Business Development (RMBD) grants.

(b) *Maximum Grant Award* for this funding category shall be \$100,000 per applicant.

(3) Eligible Applicants

Site-Based Resident Associations (RAs), City-Wide Resident Organizations (CWROs), and Tribes/TDHEs that partner with Tribal ROs and Tribal RMCs. If an RA is a beneficiary or recipient of proposed grant activities by a CWRO, then that RA cannot also apply under this category. Previous TOP grantees must demonstrate that they have spent at least 75 percent of any prior grant by the publication date of this NOFA. Applications from a Tribe or TDHE must include a Memorandum of Understanding (MOU) (see section IV.(A)(8)(b), below, of this NOFA) with the Tribal RO or RMC.

(4) Eligible Participants

For applications that are not from a Tribe or TDHE, at least 75 percent of the persons participating and receiving benefits from RMBD activities must be residents of conventional public housing; any other persons (up to 25 percent per grantee) participating or receiving benefits from these programs must be recipients of Section 8 assistance. In addition, all applicants must provide evidence that at least 51 percent of those served by the activities are households affected by welfare reform.

(5) Eligible Activities

Under this funding category funds may be used for the activities described below.

(a) Training related to resident-owned business or cooperative development and technical assistance for job training and placement in RMC developments;

(b) Technical assistance and training in resident managed business development through: feasibility and market studies; development of business plans; outreach activities; and innovative financing methods including revolving loan funds and the development of credit unions; and legal advice in establishing a resident-managed business entity or cooperative.

(c) Establishing and funding revolving loan funds;

(d) Training residents, as potential employees of an RMC, in skills directly related to the operation, management, maintenance and financial systems of a development;

(e) Training residents with respect to fair housing requirements; and

(f) Gaining assistance in negotiating management contracts and designing a long-range planning system.

(g) Providing social support needs (such as self sufficiency and youth initiatives) including:

(i) Feasibility studies to determine training and social services needs;

(ii) Training in management-related trade skills, computer skills, and similar skills;

(iii) Management-related employment training and counseling including job search assistance, job development assistance, job placement assistance, and follow up assistance;

(iv) Supportive services including: child care services; educational services, remedial education, literacy training, ESL instruction, assistance in attaining a GED; vocational training including computer training; health care outreach and referral services; meal services for the elderly or persons with disabilities; personal assistance to maintain hygiene/appearance for the elderly or persons with disabilities; housekeeping assistance for the elderly or persons with disabilities; transportation services; congregate services for the elderly or persons with disabilities; and case management;

(v) Training for programs such as child care, early childhood development, parent involvement, volunteer services, parenting skills, before and after school programs;

(vi) Training programs on health, nutrition, safety and substance abuse;

(vii) Workshops for youth services including: child abuse and neglect prevention, tutorial services, youth leadership skills, youth mentoring, peer pressure reversal, life skills, and goal planning. The workshops could be held in partnership with community-based organizations such as local Boys and Girls Clubs, YMCA/YWCA, Boy/Girl Scouts, Campfire, and Big Brother/Big Sisters;

(viii) Training in the development of strategies to successfully implement a youth program. For example, assessing the needs and problems of the youth, improving youth initiatives that are currently active, and training youth, housing agency staff, resident management corporations and resident councils on youth initiatives and program activities;

(ix) Physical improvements to facilities at public housing developments in order to provide space for self-sufficiency activities for residents, i.e. to provide cosmetic improvements and repairs to space to conduct community activities; or to expand existing community space for proposed ROSS activities. Physical

improvements may not exceed 50% of the total grant amount and must be directly related to providing space for self-sufficiency activities for residents. Refer to Office of Management and Budget (OMB) Circular A-87, Cost Principles for State, Local and Indian Tribal Governments;

(1) Renovation, conversion, and repair costs may be essential parts of physical improvements. In addition, architectural, engineering, and related professional services required to prepare architectural plans or drawings, write-ups, specifications or inspections may also be part of the cost components to implement physical improvements.

(2) The renovation, conversion, or combination of vacant dwelling units in a PHA development to create common areas to accommodate the provision of supportive services is an eligible activity for physical improvement.

(3) The renovation of existing common areas in a PHA development to accommodate the provision of supportive services.

(4) The renovation or repair of facilities located near the premises of one or more PHA developments to accommodate the provision of supportive services.

(5) Each applicant must submit a description of the renovation or conversion to be conducted along with a budget and timetable for those activities.

(6) Each applicant must demonstrate a firm commitment of assistance from one or more sources ensuring that supportive services will be provided for not less than 2 years following the completion of renovation, conversion, or repair activities funded under this NOFA.

(7) If renovation, conversion, or repair is done off-site, the PHA must provide documentation that it has control of the proposed property for not less than 2 years and preferably for 4 years or more. Control can be evidenced through a lease agreement, ownership documentation, or other appropriate documentation.

(6) Ineligible Resident Management and Business Development Activities and Costs

Ineligible activities and costs include the following:

(a) Entertainment, including associated costs such as food and beverages, except normal per diem for meals related to travel performed in connection with implementing the Work Plan. (See Travel Notice for more specific guidance.)

(b) Purchase or rental of land.

(c) Activities not directly related to the welfare-to-work initiatives (e.g., lead-based paint testing and abatement and operating capital for economic development activities).

(d) Purchase of any vehicle (car, van, bus, etc.).

(e) Payment of salaries for routine project operations, such as security and maintenance, or for applicant staff, except that a reasonable amount of grant funds may be used to hire a person to coordinate the Resident Management and Business Development grant activities or coordinate on-site social services.

(f) Payment of fees for lobbying services.

(g) Any expenditures that are fraudulent, wasteful or otherwise incurred contrary to HUD or OMB directives.

(h) Any cost otherwise eligible under this program section of this NOFA for which funds are being provided from any other source.

(i) Entertainment equipment such as televisions, radios, stereos, and VCRs. An exception to this item may be granted by the HUD Field Office or AONAP or if funding is being utilized specifically for the purposes of establishing a business directly related to radio, television or film or some other form of technical communication, and equipment is being utilized for training of residents or RAs. All such exceptions must be authorized in writing by the HUD Field Office or AONAP before purchases may be made.

(j) Any activity or cost determined by HUD on a case-by-case good cause basis to be ineligible.

(7) Application Submission Requirements

In addition to addressing the application submission requirements listed in section IX., below, of this NOFA, Resident Management and Business Development grant applications must include a description of how they will carry out and fund the following activities and costs:

(a) *Training.* on HUD regulations and policies governing the operation of low-income public housing including contracting/procurement regulations; financial management; capacity building to develop the necessary skills to assume management responsibilities at the project and property management; and training in accessing other funding sources.

(b) *Hiring trainers or other experts.* Resident grantees must ensure that all training is provided by a qualified public housing or management specialist (Consultant/Trainer), HUD

Headquarters, AONAP or Field staff or the local PHA. To ensure the successful implementation of the grant Work Plan activities, the applicants are required to determine the need to contract for outside consulting/training services. The applicant and the PHA must jointly select and approve the consultant/trainer. Each applicant should make maximum use of its PHA, non profit, or other Federal, State, Tribal or local government resources for technical assistance and training needs. The amount allowed for hiring an individual consultant for this purpose shall not exceed 30% of the total grant award or \$30,000, whichever is less. The amount available for all consultants and contracts shall not exceed 50% of the grant or \$50,000 whichever is less. HUD Field Offices and AONAPs will monitor this process to ensure compliance with program and OMB requirements, and particularly the requirement for competitive bidding.

(c) *Stipends.* Trainees and program participants of an RA, CWRO, or Tribe/TDHE may only receive stipends for participating in or receiving training under RM to cover the reasonable costs related to participation in training and other activities in the program, subject to the availability of funds. The stipends should be used for additional costs incurred during the training programs, such as child care and transportation costs. The cost of stipends may not exceed \$200 per month per trainee without written HUD Field Office or AONAP authorization.

(d) Reimbursement of reasonable expenses incurred by Officers and Board members in the performance of their fiduciary duties and/or training related to the performance of their official duties.

(e) Travel directly related to the successful completion of the required Work Plan. All grantees must adhere to the travel policy established by HUD Notice 96-18. The policy sets travel costs at a maximum amount of \$5,000 per RA without special HUD approval.

(f) Child care expenses for individual staff, board members, or residents in cases where those who need child care are involved in training-related activities associated with grant activities.

(g) Costs incurred by a RA in applying for 501(c) tax exempt status with Internal Revenue Service.

(h) *Administrative costs.* These costs are necessary for the implementation of grant activities. Administrative costs are not to exceed 20% of the grant. Appropriate administrative costs include, but are not limited to, the following reasonable costs or activities:

(i) *Space and equipment.*

Maintenance, utility costs, postage, building lease/rental costs, purchase or lease of telephone, computer, printing, copying, and sundry non-dwelling equipment (such as office supplies, software, and furniture). A grantee must justify the need for this equipment or space based on services being delivered in relationship to implementing its approved grant activities.

(ii) *Grant contract and financial management.* If a grantee is unable to obtain the services of a Contract Administrator or accountant without charge, the cost for a Contract Administrator and or accountant is eligible. The grantee is required to maintain documentation on file showing what efforts it made to obtain the services of a Contract Administrator cost-free.

(iii) *Technical assistance* regarding any other service and/or resource, including case management, that are proposed by applicants and approved by HUD.

(iv) Rental or lease of a car, van, or bus by resident grantees to attend training;

(8) *Threshold Requirements*

(a) *Focus on Residents Affected by Welfare Reform.* The application must contain written evidence provided by the PHA to the applicant, or by Tribe or TDHE that at least 51 percent of the public or Tribal housing residents (including Section 8 tenants as applicable) to be included in the proposed program are affected by the welfare reform legislation, including TANF recipients and, if affected, legal immigrants and SSI recipients. Elderly or disabled residents not otherwise affected by welfare reform may be included towards meeting the 51 percent requirement if, under the grant, they will provide services such as child care or mentoring to persons affected by welfare reform.

(b) *Partnership between the Resident Association and the PHA or the Tribal RO or RMC and the Tribe/TDHE.*

(1) The application must contain a signed Memorandum of Understanding (MOU) between the RA and the PHA or the Tribe/TDHE and the Tribal RO or RMC which describes the specific roles, responsibilities and activities to be undertaken between the two entities.

(2) The MOU, at a minimum, must identify the principal parties (i.e. the name of the PHA and RA or the Tribe/TDHE and the Tribal RO or RMC), the terms of the agreement (expectations or terms for each party), and indicate that the agreement pertains to the support of the grant application. This document is

the basis for foundation of the relationship between the RA and PHA or the Tribe/TDHE and the Tribal RO or RMC. It must be precise and outline the specific duties and objectives to be accomplished under the grant. All MOUs must be finalized, dated and signed by duly authorized officials of both the RA and PHA or the Tribe/TDHE and the Tribal RO or RMC upon submission of the application. A sample MOU will be provided in the application kit.

(c) *Accessible Community Facility.* The applicant must provide evidence (e.g. through an executed use agreement and/or in the MOU with the PHA) that a majority of the proposed activities will be administered at community facilities within easy access (i.e., walking or by direct (no transfers required), convenient, inexpensive and reliable transport) of the property or properties represented by the applicant. The community facility must also meet the structural accessibility requirements of section 504 of the Rehabilitation Act and the Americans with Disabilities Act.

(d) *Match Requirement.*

(1) The applicant must supplement grant funds with an in-kind and/or cash match of not less than 25% of the grant amount. This match does not have to be a cash match. The match may include: the value of in-kind services, contributions or administrative costs provided to the applicant; funds from Federal sources (but not ROSS, EDSS, TOP or SC funds); funds from any State or local government sources; and funds from private contributions.

(2) The application must demonstrate that the cash or in-kind resources and services, which the applicant will use as match amounts (including resources from the applicant's Comprehensive Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit), are firmly committed and will support the proposed grant activities. "Firmly committed" means there must be a written agreement to provide the resources and services, signed by an official legally able to make commitments on behalf of the organization. The written agreement may be contingent upon an applicant receiving a grant award.

(3) The following are guidelines for valuing certain types of in-kind contributions:

(i) The value of volunteer time and services shall be computed at a rate of six dollars per hour except that the value of volunteer time and services involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate

paid for the service in the community where the activity is located.

(ii) The value of any donated material, equipment, building, or lease shall be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated not more than one-year old taken from the community where the item or activity is located, as appropriate.

(e) *Contract Administrator.* For applicants other than Tribes/TDHEs, unless HUD or an Independent Public Accountant has determined that the applicant's financial management system and procurement procedures fully comply with 24 CFR part 84, the application must contain evidence that the applicant will use the services of a Contract Administrator in administering the grant. Troubled PHAs are not eligible to be Contract Administrators. In cases where the Contract Administrator is the PHA, the contract administration responsibilities can be incorporated into the MOU discussed above.

(f) *Applicant Non-Profit Status.*

Applications that are RAs/RMCs/CWROs must include evidence that the applicant is registered with the State as a nonprofit corporation at the time of application submission. CWROs only must have 501(c) status with the United States Internal Revenue Service at the time of application submission.

(g) *Certification of Elections.* Resident Organization applicants must submit certification of the RA board election, signed by the local PHA and/or an independent third-party monitor and notarized.

(h) *Compliance with Current Programs.* The applicant must provide a valid certification on the format provided in the application kit that it is not the subject of unresolved HUD Office of Inspector General findings and that it and the contract administrator are not in default at the time of application submission with respect to any previous HUD-funded grant programs the applicant or contract administrator has received.

(i) *List of RAs Receiving Support.* CWRO applications must list in their application the name of the RAs that will receive services and must submit letters of support from each RA identified in the application.

(9) *Application Selection Process*

Applicants for Resident Management and Business Development grants are required to address application submission requirements, but are not

required to address selection factors. Eligibility will be determined by applications that meet the threshold requirements of sections IV.(A)(8) and VII. of this NOFA. HUD will accept for funding the first five eligible applications from each of the ten federal regions and from ONAP National Program Office in Denver (ONAP) on a first-come, first-serve basis for 60 days after this NOFA is published. Any funds remaining after making awards to the first five eligible applications from each region and ONAP will be awarded to the next eligible application from each region or ONAP, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from each region, the eligible applications will then be funded in the order in which they were received regardless of region. If sufficient funds are not available in any round to fund an eligible application from ONAP, or if funds remain available after funding every eligible ONAP application, the remaining funds are transferable to other funding categories in this NOFA in the following order: first, to qualifying applications from Tribes/TDHEs for Resident Service Delivery Model grants under section V. of this NOFA; second to qualifying applications from Tribes/TDHEs for Resident Capacity Building and/or Conflict Resolution grants under section IV.(B) of this NOFA; third, to qualifying applications for Resident Management and Business Development grants under this section IV.(A) from applicants that are not Tribes/TDHEs. In addition, if all funds are not awarded in this funding category to eligible regional applications received within 60 days after this NOFA is published, funds are transferable to other non-Tribe/TDHE funding categories in this NOFA in the following order: first, service coordinators under section VI. of this NOFA; second, Resident Capacity Building and/or Conflict Resolution under section IV.(B) of this NOFA; third, Resident Service Delivery Models under section V. of this NOFA. Where physical development activities are proposed, HUD will perform an environmental review, to the extent required by 24 CFR part 50, prior to award. The results of the environmental review may require that proposed activities be modified or proposed sites rejected.

(10) Grant Term

The grant term for Resident Management and Business Development grants is thirty-six months from the execution date of the grant agreement.

(B) Capacity Building and/or Conflict Resolution

(1) Program description

These grants are available for two types of awards:

(a) *Conflict Resolution Grants* (CR) are available to secure the services of professional mediators to resolve conflicts involving public or Tribal housing residents and/or Site-Based Resident Associations or Tribal ROs or RMCs. For Conflict Resolution Grants, a skilled mediator or partner, under the auspices of an applicant, will bridge impasses between residents and/or factions within specific developments, among active participants of a Site-Based Resident Association (RA) or Tribal ROs or RMCs, or between an RA or Tribal RO or RMC and its partners, especially local Housing Agencies. The scope of conflict resolution activities may include support for multicultural cooperation and communication. The applicant must apply in partnership with a recognized professional mediation organization. All mediators must have entered into at least one referral agreement with judicial, law enforcement or social services agencies to mediate for public housing residents served by the agency. After awarding the grants, HUD would refer cases requiring mediation to the grantee. Also conflicting parties, on their own initiative, could make requests for mediation services directly to the grantee. While mediating for residents and their partners, the professional mediators would also train grantee staff in mediation principles and skills for mediation in the future.

(b) *Capacity Building Grants* (CB) are available to provide technical assistance and training activities to establish and strengthen organizational capacity for site-based resident associations or Tribal ROs or RMCs that do not have the capacity to administer welfare-to-work and other programs, work with PHAs, Tribes or TDHEs, or conduct management activities. Capacity Building Grants will be targeted to help establish new site-based resident organizations or enhance the capacity of existing organizations to assist residents, participate in Housing Agency decision making, manage all or a portion of their housing development, and develop skills and expertise needed to administer grants.

(2) Amount Allocated for Capacity Building and/or Conflict Resolution

(a) \$5 million is available for CB/CR awards, of which \$400,000 is for applications from Indian Tribes or TDHEs.

(b) The maximum grant award will be \$15,000 per RA represented, up to the following maximums: \$105,000 for City-Wide Resident Organizations (CWROs), Indian Tribes, or TDHEs and \$240,000 per applicant for all other applicants in these funding categories. An applicant that is not a CWRO, an Indian Tribe, or a TDHE is required to serve a minimum of 10 RAs.

(3) Eligible applicants

(a) Intermediary Resident Organizations (IROs) on behalf of public housing residents, which include Public Housing Site-Based Resident Councils; Resident Management Corporations; and Tribes/TDHEs on behalf of tribal housing residents, Tribal ROs and Tribal RMCs may apply for Capacity Building and/or Conflict Resolution grants. IROs include National Resident Organizations, Statewide Resident Organizations, Regional Resident Organizations, City-Wide Resident Organizations, and Jurisdiction-Wide Resident Organizations.

(b) Non-profits that operate as associations and/or networks that administer programs that benefit public and Tribal housing resident organizations are also eligible for this funding category.

(c) An applicant that is not a CWRO must serve a minimum of 10 RAs.

(d) Previous TOP grantees must demonstrate that they have spent at least 75 percent of any prior grant by the publication date of this NOFA.

(4) Eligible Activities

(a) *Conflict resolution.* Conflict resolution grant activities may include, but are not limited to:

(i) Efforts to address conflicts related to gang violence;

(ii) Establishing violence-free zones to enhance the quality of living environment for public housing residents;

(iii) Training programs on mediation and communication skills;

(iv) Training programs on dispute resolution and reconciliation, including training addressing racial, ethnic and other forms of diversity;

(v) Workshops for youth services including: child abuse and neglect prevention, tutorial services, youth leadership skills, youth mentoring, peer pressure reversal, life skills, goal planning, health, and nutrition. The workshops may be held in partnership with community-based organizations such as local Boys and Girls Clubs, YMCA/YWCA, Boy/Girl Scouts, Campfire and Big Brother/Big Sisters, etc.

(vi) Training in the development of strategies to successfully implement a youth program. For example, assessing the needs and problems of youth, improving youth initiatives that are currently active, and training youth, housing agency staff, resident management corporations and resident councils on youth initiatives and program activities.

(b) *Capacity Building*. Eligible activities for CB grants may include, but are not limited to:

(i) Training Board members in community organizing, Board development, and leadership training;

(ii) Determining the feasibility of and training existing resident groups for resident management or for a specific resident management project;

(iii) Assisting in the creation of an RMC, such as consulting and legal assistance to incorporate, preparing by-laws and drafting a corporate charter;

(iv) Developing the management capabilities of existing resident organizations;

(v) Determining the feasibility of homeownership by residents, including assessing the feasibility of other housing (including HUD-owned or held single or multi-family) affordable for purchase by residents.

(5) *Ineligible Activities*

Ineligible activities are the same as those listed in section IV.(A)(6) of this NOFA, above. In addition, physical development activities are not eligible for funding under CB or CR grants.

(6) *Application Submission Requirements*

In addition to addressing the application submission requirements listed in section IX., below, of this NOFA, applicants for the CB and CR grants must provide a narrative description of proposed activities that addresses the following information: a description of the geographic boundaries of the RAs or Tribal ROs or RMCs included in the application; a description of the public or Tribal housing community; a detailed description of the issues or problems involved with each RA or Tribal RO or RMC to be served by the grant; and the resources that are currently being devoted to the problem or issue under consideration.

(7) *Threshold Requirements*

(a) *Written Agreement with Mediator*. Conflict Resolution applicants only must have a written agreement with a professional mediator or mediation organization (mediator/partner) outlining the roles and responsibilities

of each party, as well as any compensation to the mediator/partner (which must be reasonable and based on the work to be performed) defined. The written agreement must specify, consistent with the work plan, that the mediator/partner will train grantee staff and/or volunteers such that the grantee will be capable of providing mediation assistance independently by the end of the grant term;

(b) *Mediation Experience/Referral Agreement*. Conflict Resolution applicants only must provide evidence that their mediator/partner that are PHAs have at least three years of experience in providing mediation services and at least two years of experience in mediation training; and include one referral agreement with a judicial, law enforcement or social service agency such as the court system or Welfare Department for mediation referral of public housing residents.

(c) *Applicant Non-Profit Status*. Both CB and CR applications that are not Tribes/TDHEs must provide evidence that the applicant is registered with the State as a nonprofit corporation and has 501(c) status with the United States Internal Revenue Service at the time of application submission.

(d) *Compliance with Current Programs*. Both CB and CR applicants must provide certification on the format provided in the application kit that the applicant and the mediation partner are not in default at the time of application submission with respect to any previous HUD funded grant programs the applicant received and that there are no unresolved Office of Inspector General findings against the applicant or mediation partner.

(e) *Match Requirement*.

(i) Both CB and CR applicants must supplement grant funds with an in-kind and/or cash match of not less than 25% of the grant amount. This match does not have to be a cash match. The match may include: the value of in-kind services, contributions or administrative costs provided to the applicant; funds from Federal sources (but not ROSS, EDSS, TOP, or SC funds); funds from any State or local government sources; and funds from private contributions.

(ii) Both CB and CR applications must demonstrate that the cash or in-kind resources and services, which the applicant will use as match amounts (including resources from the applicant's Comprehensive Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit), are firmly committed and will support the proposed grant activities. "Firmly committed" means there must be a

written agreement to provide the resources and services, signed by an official legally able to make commitments on behalf of the organization. The written agreement may be contingent upon an applicant receiving a grant award.

(iii) The following are guidelines for valuing certain types of in-kind contributions:

(1) The value of volunteer time and services shall be computed at a rate of six dollars per hour except that the value of volunteer time and services involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate paid for the service in the community where the activity is located.

(2) The value of any donated material, equipment, building, or lease shall be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated not more than one-year old taken from the community where the item or activity is located, as appropriate.

(f) *List of RAs Receiving Support*. In both CB and CR applications eligible applicants must list in their application the name of the RAs or Tribal ROs or RMCs that will receive training, technical assistance and/or coordinated supportive services and must submit letters of support from each entity identified in the application.

(8) *Application Selection Process*

Applicants for Conflict Resolution or Capacity Building grants are required to address application submission requirements but are not required to address selection factors. Applicants are required to include letters of support from the PHA or Tribe on behalf of RAs or Tribal ROs and RMCs to be served (see section IV.(B)(7)(f), above, of this NOFA). Eligibility will be determined by applications that meet the threshold requirements of sections IV.(B)(7) and VII. of this NOFA. HUD will accept for funding the first two eligible applications from each of the ten federal regions and from ONAP National Program Office in Denver (ONAP) on a first-come, first-serve basis for 60 days after this NOFA is published. Any funds remaining after making awards to the first two eligible applications from each region or ONAP will be awarded to the next eligible application from each region or ONAP, then the next, and so forth until funds are exhausted. If sufficient funds are not available in any round to fund an eligible application from each region, the eligible

applications will then be funded in the order in which they were received regardless of region. If sufficient funds are not available in any round to fund an eligible application from ONAP, or if funds remain available after funding every eligible ONAP application, the remaining funds are transferable to other funding categories in this NOFA in the following order: first, to qualifying applications from Tribes/TDHEs for Resident Service Delivery Model grants under section V. of this NOFA; second to qualifying applications from Tribes/TDHEs for Resident Management and Business Development grants under section IV.(A) of this NOFA; third, to qualifying applications for Resident Capacity Building and/or Conflict Resolution grants under this section IV.(B) from applicants that are not Tribes/TDHEs. In addition, if all funds are not awarded in this funding category to eligible regional applications received within 60 days after this NOFA is published, funds are transferable to other non-Tribe/TDHE funding categories in this NOFA in the following order: first, service coordinators under section VI. of this NOFA; second, Resident Capacity Building and/or Conflict Resolution under section IV.(B) of this NOFA; third, Resident Service Delivery Models under section V. of this NOFA.

(9) Grant Term

The grant term for both Capacity Building and Conflict Resolution grants is thirty-six months from the execution date of the grant agreement.

V. Resident Service Delivery Models (RSDM)

(A) Program Description

(1) Resident Service Delivery Models—Families

These grants provide services to assist eligible residents to become economically self-sufficient, particularly families with children where the head of household would benefit from the receipt of supportive services and is working, seeking work, or is preparing for work by participating in job-training or educational programs. Grants provide support for program activities essential to facilitate economic uplift and provide access to the skills and resources needed for employment, job development and business development.

(2) Resident Service Delivery Models—Elderly/Disabled

This grant category provides supportive services for elderly residents and persons with disabilities.

(B) Amount Allocated

(1) Amount Allocated for Resident Service Delivery Models

For RSDM, \$40.6 million is available for eligible applicants. Of this amount \$2 million is available for Tribes/TDHEs.

(2) Maximum Grant Award

(a) For PHAs and Tribes/TDHEs, the maximum grant application award will be based on the number of occupied units for family or the elderly and persons with disabilities, as applicable. For the RSDM category, PHAs must use the number of occupied units to determine the maximum grant amount in accordance with the categories listed below for family:

(i) For PHAs and Tribes/TDHEs with 1 to 780 occupied family units, the maximum grant award is \$75,000.

(ii) For PHAs and Tribes/TDHEs with 781 to 7,300 occupied family units, the maximum grant award is \$250,000.

(iii) For PHAs and Tribes/TDHEs with 7,301 or more occupied family units, the maximum grant award is \$500,000.

(b) For Elderly and Disabled RSDM grants, PHAs and Tribes/TDHEs may apply for the below listed maximums:

(i) For 1 to 217 units occupied by elderly residents or persons with disabilities, the maximum grant award is \$27,125.

(ii) For 218 to 1,155 units occupied by elderly residents or persons with disabilities, the maximum grant award is \$100,000.

(iii) For 1,156 or more units occupied by elderly residents or persons with disabilities, the maximum grant award is \$150,000.

(c) The maximum grant award for RAs is \$75,000.

(d) Non profit entities supported by residents or RAs are limited to \$75,000 for each RA. Non profit entities supported by residents may be awarded no more than three awards for different RAs.

(e) Tribes/TDHEs should use the number of units counted as Formula Current Assisted Stock for Fiscal Year 1998 as defined in 24 CFR 1000.316. Tribes who have not previously received funds from the Department under the 1937 Act should count housing units under management that are owned and operated by the Tribe and are identified in their housing inventory as of September 30, 1997.

(3) If all funds are not awarded in one funding category, funds are transferable to the other funding categories in this NOFA.

(C) Eligible Applicants

(1) Family

This funding category provides grants to PHAs, Indian Tribes and TDHEs on behalf of public and Tribal housing residents, or directly to resident management corporations, resident councils, or resident organizations, including nonprofit entities supported by residents, to enable them to establish and implement comprehensive programs that assist residents in becoming self-sufficient and/or enable independent living and aging in place.

(2) Elderly and Disabled

PHAs, Indian Tribes and TDHEs are eligible applicants in providing supportive services for the elderly and disabled.

(3) Previous Grantees

Previous EDSS, TOP, or Service Coordinator grantees must demonstrate that they have spent at least 75 percent of any prior grant by the publication date of this NOFA.

(4) Joint Applications

Two or more applicants may join together to submit a joint application for proposed grant activities. Joint applications must designate a lead applicant. All parties in a joint application (lead or non-lead) are considered to be applying for ROSS and are therefore subject to the limit of one ROSS application per applicant, with the exception of those Service Coordinator applicants that may also apply in one additional ROSS category. Funding for joint applications may not exceed the stated maximum for this funding category.

(D) Eligible Participants

At least 75 percent of the persons participating and receiving benefits from these activities must be residents of conventional public housing or Tribal housing. For applications that are not from a Tribe or TDHE, any other persons (up to 25 percent per grantee) participating or receiving benefits from these programs must be recipients of Section 8 assistance.

(E) Eligible Activities

Funds may be used for the activities described below, according to whether the application is for the family category, or elderly and disabled category.

(1) Family

(a) *Program Coordinator.* Applicants are encouraged to include a Program Coordinator for proposed RSDM

activities for the entire term of the grant. A Program Coordinator is a person who is responsible for coordinating various proposed activities to ensure that their accomplishment will assist in achieving overall grant goals and objectives.

(b) *Physical improvements* to provide space for self-sufficiency activities for residents, i.e. to provide cosmetic and repairs for space to conduct community activities; or to expand existing community space for proposed ROSS activities. Physical improvements may not exceed 50% of the total grant amount and must be directly related to providing space for self-sufficiency activities for residents. Refer to Office of Management and Budget (OMB) Circular A-87, Cost Principles for State, Local and Indian Tribal Governments.

(i) Renovation, conversion, and repair costs may be essential parts of physical improvements. In addition, architectural, engineering, and related professional services required to prepare architectural plans or drawings, write-ups, specifications or inspections may also be part of the cost components to implement physical improvements.

(ii) The renovation, conversion, or combination of vacant dwelling units in a housing development to create common areas to accommodate the provision of supportive services is an eligible activity for physical improvement.

(iii) The renovation of existing common areas in a housing development to accommodate the provision of supportive services.

(iv) The renovation or repair of facilities located near the premises of one or more housing developments to accommodate the provision of supportive services.

(v) Each applicant should submit a description of the renovation or conversion to be conducted along with a budget and timetable for those activities.

(vi) Each applicant must demonstrate a firm commitment of assistance from one or more sources ensuring that supportive services will be provided for not less than 2 years following the completion of renovation, conversion, or repair activities funded under this NOFA.

(vii) If renovation, conversion, or repair is done off-site, the applicant must provide documentation that it has control of the proposed property for not less than 2 years and preferably for 4 years or more. Control can be evidenced through a lease agreement, ownership documentation or other appropriate documentation.

(c) *Entrepreneurship training* (literacy training, computer skills training, business development planning).

(d) *Entrepreneurship development* (entrepreneurship training curriculum, entrepreneurship courses).

(e) *Micro/Loan fund*. Developing a strategy for establishing a revolving micro/loan fund and/or capitalizing a loan fund, including licensing, bonding, and insurance needed to operate a business.

(f) *Developing credit unions*. Developing a strategy to establish and/or create onsite credit union(s) to provide financial and economic development initiatives to PHA residents. (RSDM grant funds cannot be used to capitalize a credit union.) The credit union could support the normal financial management needs of the community (i.e., check cashing, savings, consumer loans, micro-businesses money management, home buyer counseling educational loans, and other revolving loans).

(g) *Employment training and counseling* (e.g., job training (such as apprenticeship programs), preparation and counseling, job search assistance, job development and placement, and continued follow-up assistance).

(h) *Employer linkage and job placement*.

(i) *Family only—supportive services activities*. The provision of services to assist eligible residents to become economically self-sufficient, particularly families with children where the head of household would benefit from the receipt of supportive services and is working, seeking work, or is preparing for work by participating in job-training or educational programs. Eligible supportive services may include, but are not limited to:

(i) Child care, of a type that provides sufficient hours of operation and serves appropriate ages as needed to facilitate parental access to education and job opportunities.

(ii) Computer-based educational opportunities, skills training, and entrepreneurial activities.

(iii) Homeownership training and counseling, development of feasibility studies and preparation of homeownership plans/proposals.

(iv) Education including but not limited to: remedial education; computer skills training; career counseling; literacy training; assistance in the attainment of certificates of high school equivalency; two-year college tuition assistance; trade school assistance; youth leadership skills and related activities (activities may include peer leadership roles training for youth counselors, peer pressure reversal, life

skills, goal planning). Academic support shall not be limited to TANF recipients.

(v) Youth mentoring of a type that mobilizes a potential pool of role models to serve as mentors to public or Tribal housing youth. Mentor activities may include after-school tutoring, help with problem resolution issues, illegal drugs avoidance, job counseling, or mental health counseling.

(vi) Transportation costs, as necessary to enable any participating family member to receive available services to commute to his or her training or supportive services activities or place of employment.

(vii) Personal well-being (e.g., family/parental development counseling, parenting skills training for adult and teenage parents, self-development counseling, support groups/counseling for victims of domestic violence, and/or families with a mentally ill member, etc.).

(viii) Supportive health care services (e.g., outreach and referral services to substance and alcohol abuse treatment and counseling, mental health services, wellness programs).

(ix) Contracting for case management services contracts or employment of case managers, either of which must ensure confidentiality about resident's disabilities.

(x) Administrative costs not to exceed 20% of the grant amount.

(xi) *Stipends*. No more than \$200 per participant per month of the grant award may be used for stipends for active trainees and program participants to cover the reasonable costs related to participation in training and other activities.

(2) *Elderly and Disabled—Supportive Services Activities*

May include, but are not limited to:

- (a) Meal service adequate to meet nutritional need;
- (b) Assistance with daily activities;
- (c) Housekeeping aid;
- (d) Transportation services;
- (e) Wellness programs, preventive health education, referral to community resources;
- (f) Personal emergency response; and
- (g) Congregate services—includes supportive services that are provided in a congregate setting at a conventional public or Tribal housing development.

(F) *Ineligible Activities*

Activities for which costs are ineligible for funding under the RSDM funding category include:

- (1) Payment of wages and/or salaries to participants receiving supportive services and/or training programs, except that grant funds under family

RSDM may be used to hire a resident(s) as a Program Coordinator or to provide training program activities.

(2) Purchase or rental of land.

(3) New construction, materials, and costs.

(4) Purchase of vehicles.

(G) Threshold Requirements

(1) Elderly Housing Development Certification

(For Elderly RSDM Applicants Only) A Certification that at least 25% of the residents of the development(s) proposed for grant activities are elderly and/or non elderly people with disabilities at the time of application.

(2) Focus on Residents Affected by Welfare Reform (For Family RSDM Only)

The RSDM application must demonstrate evidence from the PHA, Tribe or TDHE that at least 51% or more of the public or Tribal housing residents (including Section 8 tenants as applicable) to be included in the proposed program are affected by the welfare reform legislation, including Temporary Assistance for Needy Families (TANF) recipients, legal immigrants, and disabled SSI recipients.

(3) Accessible Community Facility

The application must provide evidence (e.g. through an executed use agreement if the facility is to be provided by an entity other than the PHA, Tribe or TDHE that a majority of the proposed activities will be administered at community facilities within easy transportation access (i.e., walking or by direct (no transfers required), convenient, inexpensive and reliable transport), of the property represented by the PHA, Tribe or TDHE. The community facilities must also meet the structural accessibility requirements of Section 504 of the rehabilitation Act and the Americans With Disabilities Act.

(4) Match Requirement

(a) The applicant must supplement grant funds with an in-kind and/or cash match of not less than 25% of the grant amount. This match does not have to be a cash match. The match may include: the value of in-kind services, contributions or administrative costs provided to the applicant; funds from Federal sources (but not ROSS, TOP, EDSS, or SC funds); funds from any State or local government sources; and funds from private contributions.

(b) The application must demonstrate that the cash or in-kind resources and services, which the applicant will use as match amounts (including resources from the applicant's Comprehensive

Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit), are firmly committed and will support the proposed grant activities. "Firmly committed" means there must be a written agreement to provide the resources and services signed by an official legally able to make commitments on behalf of the organization. The written agreement may be contingent upon an applicant receiving a grant award.

(c) The following are guidelines for valuing certain types of in-kind contributions:

(i) The value of volunteer time and services shall be computed at a rate of six dollars per hour except that the value of volunteer time and services involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate paid for the service in the community where the RSDM activity is located.

(ii) The value of any donated material, equipment, building, or lease shall be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated not more than one-year old taken from the community where the item or RSDM activity is located, as appropriate.

(5) Compliance With Current Programs

The applicant must provide certification in the format provided in the application kit that it is not in default at the time of application submission with respect to grants for the following programs: the Family Investment Center Program; the Youth Development Initiative under the Family Investment Center Program; the Youth Apprenticeship Program; the Apprenticeship Demonstration in the Construction Trades Program; the Urban Youth Corps Program; the HOPE 1 Program; the Public Housing Service Coordinator Program; the Public Housing Drug Elimination Program; the Youth Sports Program; the Tenant Opportunities Program; and the Economic Development and Supportive Services Program.

(6) Contract Administrator

For applicants other than Tribes/TDHEs, unless HUD or an Independent Public Accountant has determined that the applicant's financial management system and procurement procedures fully comply with 24 CFR part 84, the application must contain evidence that the applicant will use the services of a Contract Administrator in administering the grant. Applicants that are troubled

PHAs are required to provide evidence that a Contract Administrator has been retained for the term of the grant.

(a) A Contract Administrator, if retained, must oversee the financial activities and assist with the entire implementation of the grant. A signed executed agreement must be included in the application. This agreement may be contingent upon the applicant receiving a grant award.

(b) The Contract Administrator may be: Local Housing Agencies (except for troubled PHAs); community-based organizations such as Community Development Corporations (CDC), churches; non-profits; State/Regional associations and organizations. Troubled PHAs are not eligible to be Contract Administrators.

(c) If a grantee is unable to obtain the services of a Contract Administrator or accountant without charge, the cost for a Contract Administrator and or accountant is eligible. The grantee is required to maintain documentation on file showing what efforts it made to obtain the services of a Contract Administrator cost-free.

(7) Applicant Non-Profit Status

Both RA and non-profit applicants only must submit evidence that the applicant is registered with the State as a nonprofit corporation at the time of application submission. Non-profits only must have 501(c) status with the United States Internal Revenue Service at the time of application submission.

(8) Certification of Elections

Resident Organization applicants only must submit certification of the RA board election as required by HUD, signed by the local PHA and/or an independent third-party monitor and notarized.

(H) Application Selection Process

All applications are due no later than 90 days from the publication date of this NOFA. Three types of reviews will be conducted: a screening to determine if the application submission is complete and on time; a threshold review to determine applicant eligibility; and a technical review to rate the applications based on the rating factors in section V.(I), below, of this NOFA. A minimum score of 55 is required to be considered for funding. If the applicant is not a PHA, where physical development activities are proposed, HUD will perform an environmental review, to the extent required by 24 CFR part 50, prior to award. The results of the environmental review may require that proposed activities be modified or proposed sites rejected.

HUD will conduct the selection process as follows:

(1) For Applicants Other Than Tribes/TDHEs

HUD will first select the highest ranked application from each of the ten federal regions for funding. After this "round," HUD will select the second highest ranked application in each of the ten federal regions for funding (the second round). HUD will continue this process with the third, fourth, and so on, highest ranked applications in each federal region until the last complete round is selected for funding. If available funds exist to fund some but not all eligible applications in the next round, HUD will make awards to those remaining applications in rank order regardless of region and will fully fund as many as possible with remaining funds. In addition, if all funds are not awarded in this funding category, funds are transferable to other funding categories in this NOFA in the following order: first, service coordinators under section VI. of this NOFA; second, Resident Management and Business Development under section IV.(A) of this NOFA; third, Resident Capacity Building and/or Conflict Resolution under section IV.(B) of this NOFA. The selection process is designed to achieve both geographic diversity and a more equitable distribution of grant awards throughout the country.

(2) For Tribes/TDHEs

After rating and ranking, HUD will fund Tribes/TDHEs in rank order until all funds allocated for Tribes/TDHEs have been awarded to the extent that there are eligible applications. Any remaining funds will be transferable to other funding categories in this NOFA in the following order: first, to qualifying applications from Tribes/TDHEs for Resident Management and Business Development grants under section IV.(A) of this NOFA; second to qualifying applications from Tribes/TDHEs for Resident Capacity Building and/or Conflict Resolution under section IV.(B) of this NOFA; third, to qualifying applications for Resident Service Delivery Model grants under this section V. from applicants that are not Tribes/TDHEs.

(I) Factors for Award Used to Evaluate and Rate RSDM Applications

The factors for rating and ranking applicants and maximum points for each factor are provided below. The maximum number of points available for this program is 100. In addition, this NOFA also provides for the award of two bonus points for eligible activities/

projects that are proposed to be located in federally designated Empowerment Zones (EZs), Enterprise Communities (ECs), or Urban Enhanced Enterprise Communities (EECs). The application kit contains a certification which must be completed for the applicant to be considered for EZ/EC bonus points and a listing of federally designated EZs, ECs, or Enhanced EECs.

An RSDM application must receive a total of 55 points out of 100 to be eligible for funding.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points)

This factor addresses the extent to which the applicant has the organizational resources necessary to successfully implement the proposed activities in a timely manner. In rating this factor HUD will consider the extent to which the proposal demonstrates:

(1) Proposed Program Staffing (7 Points)

(a) Experience. (4 Points): The knowledge and experience of the proposed project director and staff, including the day-to-day program manager, sub-recipients and partners in planning and managing programs for which funding is being requested. Experience will be judged in terms of recent, relevant and successful experience of the applicant to undertake eligible program activities.

(b) Sufficiency. (3 Points): The applicant, its sub-recipients, and partners have sufficient personnel or will be able to quickly access qualified experts or professionals, to deliver the proposed activities in each proposed service area in a timely and effective fashion, including the readiness and ability of the applicant to immediately begin the proposed work program. To demonstrate sufficiency, the applicant must submit the proposed number of staff years to be allocated to the project by employees and experts, the titles and relevant professional background and experience of each employee and expert proposed to be assigned to the project, and the roles to be performed by each identified employee and expert.

(2) Program Administration and Fiscal Management (7 Points)

(a) Program Administration.

(4 Points): The soundness of the proposed management of the proposed RSDM program. In order to receive a high score, an applicant must provide a comprehensive description of the project management structure. The narrative must provide a description of how any co-applicants, sub-grantees, and other partner agencies relate to the program administrator as well as the

lines of authority and accountability among all components of the proposed program.

(b) Fiscal Management. (3 Points):

The soundness of the applicant's proposed fiscal management. In order to receive a high score an applicant must provide a comprehensive description of the fiscal management structure, including, but not limited to, budgeting, fiscal controls, and accounting. The application must identify the staff responsible for fiscal management, and the processes and timetable for implementation during the proposed grant period.

(3) Applicant/Administrator Track Record (6 Points):

In order to receive a high score, the applicant must demonstrate its (or the proposed Administrator's) program compliance and successful implementation of any resident self-sufficiency, security or independence oriented grants (including those listed below) awarded to the applicant or overseen by the Administrator. Applicants or Administrators with no prior experience in operating programs that foster resident self-sufficiency, security or independence will receive a score of 0 on this factor. The applicant's past experience may include, but is not limited to, administering the following grants: the Family Investment Center Program; the Youth Development Initiative under the Family Investment Center Program; the Youth Apprenticeship Program; the Apprenticeship Demonstration in the Construction Trades Program; the Urban Youth Corps Program; the HOPE I Program; the Public Housing Service Coordinator Program; the Public Housing Drug Elimination Program; Tenant Opportunities Program; Economic Development and Supportive Services; and the Youth Sports Program.

Rating Factor 2: Need/Extent of the Problem (20 Points)

This factor addresses the extent to which there is a need for funding the proposed program activities to address a documented problem in the target area. Applicants will be evaluated on the extent to which they document a critical level of need in the development or the proposed activities in the area where activities will be carried out. In responding to this factor, applicants will be evaluated on:

(1) A Needs Assessment Document

(18 Points): HUD will award up to 18 points based on the quality and comprehensiveness of the needs assessment document.

(a) In order to obtain maximum points for Family RSDM applications, this

document must contain statistical data which provides:

(i) A thorough socioeconomic profile of the eligible residents to be served by the grant, in relationship to PHA-wide and national public and assisted housing data on residents who are on TANF, SSI benefits, or other fixed income arrangements; in job training, entrepreneurship, or community service programs; and employed.

(ii) Specific information on training, contracting, and employment through the PHA or Tribe.

(iii) An assessment of the current service delivery system as it relates to the needs of the target population, including the number and type of services, the location of services, and community facilities currently in use;

(iv) A description of the goals, objectives, and program strategies that will result in successful transition of residents from welfare-to-work.

(b) In order to obtain maximum points for Elderly and Persons with Disabilities RSDM applications, the needs assessment document should contain statistical data that provide:

(i) The numbers of residents needing assistance for activities of daily living.

(ii) An assessment of the current service delivery system as it relates to the needs of the target population, including the number and type of services, the location of services, and community facilities currently in use.

(iii) A description of the goals, objectives, and program strategies that will result in increased independence for proposed program participants.

(2) *Level of Priority in Consolidated Plan.* (2 Points): Documentation of the level of priority the locality's, or in the case of small cities, the State's, Consolidated Plan has placed on addressing the needs. Applicants may also address needs in terms of fulfilling the requirements of court actions or other legal decisions or which expand upon the Analysis of Impediments to Fair Housing Choice (AI) to further fair housing. Applicants that address needs that are in the community's Consolidated Plan, AI, or a court decision, or identify and substantiate needs in addition to those in the AI, will receive a greater number of points than applicants who do not relate their proposed program to the approved Consolidated Plan or AI or court action. There must be a clear relationship between the proposed activities, community needs and the purpose of the program funding for an applicant to receive points for this factor.

Rating Factor 3: Soundness of Approach (40 Points)

This factor addresses the quality and cost-effectiveness of the applicant's proposed work plan. In rating this factor HUD will consider: the viability and comprehensiveness of strategies to address the needs of residents; budget appropriateness/efficient use of grant; the speed at which the applicant can realistically accomplish the goals of the proposed RSDM program; the soundness of the applicant's plan to evaluate the success of its proposed RSDM program at completion and during program implementation; and resident and other partnerships; and policy priorities.

(1) *Viability and comprehensiveness of the strategies to address the needs of residents* (21 Points): The score under this subfactor will be based on the viability and comprehensiveness of strategies to address the needs of residents. HUD will award up to 19 points based on the following:

(a) *Services* (18 Points for Family RSDM applicants and 21 Points for Elderly and Persons with Disabilities RSDM applicants. More points are awarded in the Elderly and Persons with Disabilities RSDM applications in order to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant) The score under this subfactor will be based on the following:

(i) For Family RSDM applications, the extent to which an applicant's plan provides services that specifically address the successful transition from welfare to work of non-elderly families. To receive a high score, the applicant's plan should include case management/counseling, job training/development/placement (and/or business training/development/startup), child care, and transportation services. Also, in order to receive maximum points, the goals and objectives of the proposed plan must represent significant achievements related to welfare-to-work and other self-sufficiency/independence goals. Specifically for those residents affected by welfare reform, the number of residents employed or resident businesses started are preferable to the number of residents receiving training.

(ii) For Elderly and Persons with Disabilities RSDM applications, services in the applicant's plan should include case management, health care, congregate services and transportation. To obtain maximum points, the application must describe the goals, objectives, and program strategies that will result in increased independence

for proposed program participants; the services must be located in a community facility; and services must be available on a 12 hour basis or as needed by the eligible residents.

(b) *Resident Contracting and Employment* (3 Points): The score in this factor will be based on the extent to which residents will achieve self-sufficiency through the applicant's contracts with resident-owned businesses and through resident employment. A high score will be awarded where there is documentation (a letter or resolution from the applicant's governing body) describing the applicant's commitment to hire or contract with at least 15% of residents and a narrative describing the number of resident jobs or contracts involved, as well as the training processes related to the comprehensive plan of your application. Elderly and Persons with Disabilities RSDM applications will not be scored on the criterion in this subcategory.

(2) *Budget Appropriateness/Efficient Use of Grant* (5 Points): The score in this factor will be based on the following:

(a) *Detailed Budget Break-Out.* The extent to which the application includes a detailed budget break-out for each budget category in the SF-424A.

(b) *Reasonable Administrative Costs.* The extent to which the application includes administrative costs at or below the 20% administrative cost ceiling.

(c) *Budget Efficiency.* The extent to which the application requests funds commensurate with the level of effort necessary to accomplish the goals and objectives, and the extent to which the requested funding is reasonable in relationship to the anticipated results.

(3) *Reasonableness of the Timetable* (2 Points for Family RSDM applicants and 4 Points for Elderly and Persons with Disabilities RSDM applicants. More points are awarded in Elderly and Persons with Disabilities RSDM applications in order to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant):

The score in this factor will be based on the speed of response at which the applicant can accomplish the goals of the proposed RSDM program. To receive a high score, the applicant must demonstrate that it will make substantial program implementation progress within the first six months after grant execution, including putting staff in place, finalizing partnership arrangements, completing the development of requests for proposals, and achieving other milestones that are

prerequisites for implementation of the program. In addition, the applicant must demonstrate that the proposed timetable for all components of the proposed program is reasonable considering the size of the grant and its activities and that it can accomplish its objectives within the 24-month time limit.

(4) *Program Assessment*. (3 Points for Family RSDM and Elderly and Persons with Disabilities RSDM): The score in this factor will be based on the soundness of the applicant's plan to evaluate the success of its proposed RSDM program both at the completion of the program and during program implementation. At a minimum, the applicant must track the goals and objectives of the proposed work plan program, which must include, if applicable, a plan for monitoring the applicant's Contract Administrator. HUD will rate more favorably applicants who can track specific measurable achievements for the use of program funds, such as number of residents employed, salary scales of jobs obtained, persons removed from welfare roles 12 months or longer, number of elderly or persons with disabilities residents receiving supportive services, and number of persons receiving certificates for successful completion of training in careers such as computer technology.

(5) *Resident and Other Partnerships* (9 Points for Family RSDM applicants and 7 Points for Elderly and Persons with Disabilities RSDM applicants)

(a) *Resident Involvement in RSDM Activities* (3 Points for Family RSDM applicants and 4 Points for Elderly and Persons with Disabilities RSDM applicants). More points are awarded in Elderly and Persons with Disabilities RSDM applications in order to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant): The score in this factor will be based on the extent of resident involvement in developing the proposed RSDM program as well as the extent of proposed resident involvement in implementing the proposed RSDM program. In order to receive a high score on this factor, the applicant must describe the involvement of residents in the planning phase for this program, and a commitment to provide continued involvement in grant implementation. For applicants to receive the maximum number of points, a Memorandum of Understanding or other written agreement with the PHA, Tribe or TDHE and the Resident Association involved, as appropriate, must be included.

(b) *Other Partnerships* (3 Points): The score in this factor will be based on the successful integration of partners into

implementation of the proposed RSDM program. In order to receive a high score, an applicant must provide a signed Memorandum of Understanding (MOU) or other equivalent signed documentation that delineates the roles and responsibilities of each of the parties in the program and the benefits they will receive. In assessing this subfactor, HUD will examine a number of aspects of the proposed partnership, including:

(i) The division of responsibilities/management structure of the proposed partnership relative to the expertise and resources of the partners;

(ii) The extent to which the partnership as a whole addresses a broader level of unmet resident needs; and

(iii) The extent to which the addition of the partners provides the ability to meet needs that the applicant could not meet without the partner(s).

(c) *Overall Relationship/Coordination* (3 Points for Family RSDM only): For Family RSDM applicants, the score in this factor will be based on the extent of coordination between the applicant's proposed RSDM program and any existing or proposed programs within the applicant's jurisdiction. In order to receive a high score, the application must contain an MOU that describes collaboration between the applicant and residents on all of the specific components related to the work plan of the proposed RSDM program. To receive points, at a minimum, there must be a narrative description of this collaboration. Elderly and Persons with Disabilities RSDM applications will not be scored on this criterion.

Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses the ability of the applicant to secure community resources (note: financing is a community resource) that can be combined with HUD's program resources to achieve program purposes. In evaluating this factor HUD will consider:

The extent to which the applicant has partnered with other entities to secure additional resources to increase the effectiveness of the proposed program activities. The budget, the work plan, and commitments for additional resources and services, other than the grant, must show that these resources are firmly committed, will support the proposed grant activities and will, in combined amount (including in-kind contributions of personnel, space and/or equipment, and monetary contributions) equal at least 25% of the RSDM grant amount proposed in this application.

"Firmly committed" means there must be an written agreement with the provider of resources, signed by an official legally able to make commitments on behalf of the organization. The signed, written agreement may be contingent upon an applicant receiving a grant award. Other resources and services may include: the value of in-kind services, contributions or administrative costs provided to the applicant; funds from Federal sources (not including RSDM funds); funds from any State or local government sources; and funds from private contributions. Applicants may also partner with other program funding recipients to coordinate the use of resources in the target area.

Applicants must provide evidence of leveraging/partnerships by including in the application letters of firm commitments, memoranda of understanding, or agreements to participate from those entities identified as partners in the application. To be firmly committed there must be a written agreement with the provider of resources signed by an official legally able to make commitments on behalf of the organization. This agreement may be contingent upon an applicant receiving a grant award. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, proposed level of commitment and responsibilities as they relate to the proposed program.

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

This factor addresses the extent to which the applicant's program reflects a coordinated, community-based process of identifying needs and building a system to address the needs by using available HUD funding resources and other resources available to the community.

In evaluating this factor HUD will consider the extent to which the application addresses:

(1) *Coordination with the Consolidated Plan* (2 Points for Family RSDM applicants and 6 points for Elderly and Persons with Disabilities RSDM applicants. More points are awarded for Elderly and Persons with Disabilities RSDM applications in order to balance other sections of the rating criteria where points are not applicable to an Elderly and Persons with Disabilities RSDM applicant.) Demonstrates the applicant has reviewed the community's Consolidated Plan and/or Analysis of Impediments to Fair Housing Choice, and has proposed activities that address the priorities,

needs, goals or objectives in those documents; or substantially furthers fair housing choice in the community.

(2) *For Family RSDM Applications, Coordination with the State or Tribal Welfare Plan* (4 Points): Provides evidence that the proposed RSDM program has been coordinated with and supports the PHA's, Tribe's/TDHE's efforts to increase resident self-sufficiency and is coordinated and consistent with the State, Tribal or local Welfare Plan.

(3) *Coordination with Other Activities* (4 Points): Demonstrates that the applicant, in carrying out program activities, will develop linkages with: other HUD-funded program activities proposed or on-going in the community; or other State, Tribal, Federal or locally funded activities proposed or on-going in the community which, taken as a whole, support and sustain a comprehensive system to address the needs.

(J) Grant Term

The grant term for Resident Service Delivery Models grants is thirty-six months from the execution date of the grant agreement.

VI. Service Coordinators for Elderly and Persons With Disabilities

(A) Program Description

The Service Coordinator program for the elderly and persons with disabilities provides funding for the employment and support of service coordinators in public housing developments designated for the elderly and persons with disabilities. These elderly and disabled service coordinators help residents obtain supportive services that are needed to enable independent living and aging in place.

(B) Amounts Allocated

A total of \$15 million is available for awards to qualified applicants for service coordinators to serve the elderly and persons with disabilities. These funds may only be used as follows:

(1) Renewal of existing Service Coordinator (SC) grants from prior years. This limitation is imposed in order to further the achievement of the Congressional intent conferred with the passage of the FY 1998 EDSS appropriation to renew all service coordinator and congregate services grants expiring in fiscal year 1998. No applications for new Service Coordinator grants will be accepted under this funding category.

(2) For the Elderly and Persons with Disabilities SC category, award amounts cannot be higher than the applicant's highest funding and staffing level for

any one-year period that was approved for their last funded Service Coordinator Grant. An increase of up to 2 percent over this amount will be allowed if supported by a narrative justification.

(C) Eligible Applicants

(1) This funding category provides grants to PHAs with developments designated for the elderly and persons with disabilities.

(2) A PHA may not apply for elderly and disabled service coordinator funding if it has an expiring elderly Service Coordinator or EDSS grants that has spent less than 75% of the prior grant by the publication date of this NOFA.

(3) *Joint Applications.* Two or more PHAs may join together to share a service coordinator and so submit joint applications. Joint applications must designate a lead applicant. Funding for a joint application may not exceed the stated maximum for this funding category.

(D) Eligible Developments

To be eligible, a development must have elderly residents and/or non-elderly resident with disabilities who together total at least 25 percent of the building's residents.

(E) Eligible Activities

Under this funding category, funds may be used for the following activities:

(1) Service coordinator

Grant funds from this category may be used to pay for the salary, fringe benefits, and related administrative costs for employing a service coordinator. A service coordinator is a social service staff person hired or contracted by the PHA. The coordinator is responsible for assuring that elderly residents, especially those who are frail or at risk, and those non-elderly residents with disabilities are linked to the supportive services they need to continue living independently in that development. The service coordinator, however, may not require any elderly person or person with disabilities to accept the supportive services. For the purposes of this program, a service coordinator is any person who is responsible for one or more of the following functions:

(a) Working with community service providers to coordinate the provision of services and to tailor the services to the needs and characteristics of eligible residents;

(b) Establishing a system to monitor and evaluate the delivery, impact, effectiveness and outcomes of supportive services under this program;

(c) Coordinating this program with other independent living or self-sufficiency, education and employment programs;

(d) Performing other duties and functions to assist residents to remain independent, and to prevent unnecessary institutionalization; and

(e) Mobilizing other national and local public/private resources and partnerships.

(2) Administrative Costs

May include, but are not limited to, purchase of furniture, office equipment and supplies, training, quality assurance, travel, and utilities. Administrative costs must not exceed 20% of the total grant costs.

(F) Ineligible Costs

(1) Applicants may not use these monies to replace current funding from other sources for a Service Coordinator or for some other staff person who performs service coordinator functions.

(2) The cost of application preparation is not eligible.

(G) Application Submission Requirements

(1) Each application must be submitted in one original and two copies. Applications may not be sent by facsimile (FAX).

(2) *Required Certifications, Assurances and other Forms.* All applications for funding under this funding category must contain the following documents and information:

(a) Transmittal letter and request using the designated format;

(b) Grant Certifications;

(c) Evidence of comparable salaries in local area;

(d) Applicant checklist;

(e) For PHAs with expiring elderly or disabled Service Coordinator or Elderly or Disabled EDSS grants, evidence of grant expenditures that total at least 75% of grant funds by the publication date of this NOFA.

(f) Lead Agency letter format (if appropriate);

(g) Certification of Non-Duplication of Funding Request;

(h) Each applicant must submit signed copies of the following forms, assurances, and certifications:

(i) Standard Form (SF) 424, Standard Form for Application for Federal Assistance;

(j) Standard Form (SF) 424-B, Assurances for Non-Construction Programs.

(k) Drug-Free Workplace Certification (HUD-50070);

(l) Certification and Disclosure Form Regarding Lobbying Activities (SF-LLL); and

(m) Applicant/Recipient Disclosure Update Report (HUD-2880).

(H) Threshold Requirements

(1) Elderly and/or Disabled Housing Development Certification

A Certification that at least 25% of the residents of the development(s) proposed for grant activities are elderly and/or non-elderly people with disabilities at the time of application.

(2) Accessible Community Facility

The application must provide evidence (e.g. through an executed use agreement if the facility is to be provided by an entity other than the PHA that a majority of the proposed activities will be administered at community facilities within easy transportation access (i.e., walking or by direct (no transfers required), convenient, inexpensive and reliable transport), of the property represented by the PHA. The community facilities must also meet the structural accessibility requirements of Section 504 of the Rehabilitation Act and the Americans With Disabilities Act.

(3) Match Requirement

(a) The applicant must supplement grant funds with an in-kind and/or cash match of not less than 25% of the grant amount. This match does not have to be a cash match. The match may include: the value of in-kind services, contributions or administrative costs provided to the applicant; funds from Federal sources (but not ROSS, EDSS, TOP, SC funds); funds from any State or local government sources; and funds from private contributions.

(b) The application must demonstrate that the cash or in-kind resources and services, which the applicant will use as match amounts (including resources from the applicant's Comprehensive Grant, other governmental units/agencies of any type, and/or private sources, whether for-profit or not-for-profit), are firmly committed and will support the proposed grant activities. "Firmly committed" means there must be a written agreement to provide the resources and services signed by an official legally able to make commitments on behalf of the organization. The written agreement may be contingent upon an applicant receiving a grant award.

(c) The following are guidelines for valuing certain types of in-kind contributions:

(i) The value of volunteer time and services shall be computed at a rate of six dollars per hour except that the value of volunteer time and services

involving professional and other special skills shall be computed on the basis of the usual and customary hourly rate paid for the service in the community where the activity is located.

(ii) The value of any donated material, equipment, building, or lease shall be computed based on the fair market value at time of donation. Such value shall be documented by bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated not more than one year old taken from the community where the item or activity is located, as appropriate.

(4) Compliance With Current Programs

The applicant must provide certification in the format provided in the application kit that it is not in default at the time of application submission with respect to grants for the following programs: the Family Investment Center Program; the Youth Development Initiative under the Family Investment Center Program; the Youth Apprenticeship Program; the Apprenticeship Demonstration in the Construction Trades Program; the Urban Youth Corps Program; the HOPE 1 Program; the Public Housing Service Coordinator Program; the Public Housing Drug Elimination Program; the Youth Sports Program; the Tenant Opportunities Program; and the Economic Development and Supportive Services Program.

(I) Application Selection Process

Applicants for Elderly or Persons with Disabilities Service Coordinator grants are required to address application submission requirements, but are not required to address selection factors. To be eligible for funding, an application must meet the threshold requirements of sections VI.(H) and VII. of this NOFA, and submit all information required under this NOFA. HUD will accept eligible applications for funding on a first-come, first-serve basis for up to 30 days from the publication date of this NOFA or until funds are exhausted. If all funds are not awarded in this funding category to eligible applications, funds are transferable first to the Technical Assistance/Training Support for Resident Organizations category, and then to other funding categories in this NOFA in the following order: first, Resident Management and Business Development under section IV.(A) of this NOFA; second, Resident Capacity Building and/or Conflict Resolution under section IV.(B) of this NOFA; third, Resident Service Delivery Models under section V. of this NOFA.

(J) Grant Term

The grant term for Elderly or Persons with Disabilities Service Coordinator grants is twelve months from the execution date of the grant agreement.

VII. General Threshold Requirements

(A) Compliance With Fair Housing and Civil Rights Laws

All applicants and their subrecipients must comply with all Fair Housing and civil rights laws, statutes, regulations and executive orders as enumerated in 24 CFR 5.105(a).

If you, the applicant—

(1) Have been charged with a systemic violation of the Fair Housing Act by the Secretary alleging ongoing discrimination;

(2) Are a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an ongoing pattern or practice of discrimination; or

(3) Have received a letter of noncompliance findings under Title VI, Section 504, or Section 109,—

HUD will not rank and rate your application under this NOFA if the charge, lawsuit, or letter of findings has not been resolved to the satisfaction of the Department before the application deadline stated in the individual program NOFA. HUD's decision regarding whether a charge, lawsuit, or a letter of findings has been satisfactorily resolved will be based upon whether appropriate actions have been taken to address allegations of ongoing discrimination in the policies or practices involved in the charge, lawsuit, or letter of findings.

(B) Additional Nondiscrimination Requirements

The applicant and any subrecipients, must comply with the Americans with Disabilities Act, and Title IX of the Education Amendments Act of 1972.

(C) Affirmatively Furthering Fair Housing

The applicant must include in the application or work plan the specific steps that the applicant will take to:

(1) Address the elimination of impediments to fair housing that were identified in the jurisdiction's Analysis of Impediments (AI) to Fair Housing Choice;

(2) Remedy discrimination in housing; or

(3) Promote fair housing rights and fair housing choice.

Further, the applicant has a duty to carry out the specific activities provided in your responses to the NOFA rating factors that address affirmatively furthering fair housing.

(D) Economic Opportunities for Low and Very Low-Income Persons (Section 3)

The ROSS Program requires recipients of assistance to comply with section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 1701u (Economic Opportunities for Low and Very Low-Income Persons in Connection with assisted Projects) and the HUD regulations at 24 CFR part 135, including the reporting requirements subpart E. Section 3 requires recipients to ensure that, to the greatest extent feasible, training, employment and other economic opportunities will be directed to (1) low and very low income persons, particularly those who are recipients of government assistance for housing and (2) business concerns which provide economic opportunities to low and very low income persons.

(E) Relocation

Any person (including individuals, partnerships, corporations or associations) who moves from real property or moves personal property from real property directly (1) because of a written notice to acquire real property in whole or in part, or (2) because of the acquisition of the real property, in whole or in part, for a HUD-assisted activity is covered by Federal relocation statute and regulations. Specifically, this type of move is covered by the acquisition policies and procedures and the relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (URA), and the implementing government-wide regulation at 49 CFR part 24.

The relocation requirements of the URA and the government-wide regulations cover any person who moves permanently from real property or moves personal property from real property directly because of rehabilitation or demolition for an activity undertaken with HUD assistance.

(F) Forms, Certifications and Assurances

The applicant is required to submit signed copies of the standard forms, certifications, and assurances listed in this NOFA. As part of HUD's continuing efforts to improve the NOFA process, several of the required standard forms have been simplified this year. The standard forms, certifications, and assurances are as follows:

- (1) Standard Form for Application for Federal Assistance (SF-424);
- (2) Standard Form for Budget Information—Non-Construction

Programs (SF-424A) or Standard Form for Budget Information—Construction Programs (SF-424C), as applicable;

(3) Standard Form for Assurances—Non-Construction Programs (SF-424B) or Standard Form for Assurances—Construction Programs (SF-424D), as applicable;

(4) Drug-Free Workplace Certification (HUD-50070);

(5) Certification and Disclosure Form Regarding Lobbying (SF-LLL).

(6) Applicant/Recipient Disclosure Update Report (HUD-2880);

(7) Certification that the applicant will comply with the requirements of the Fair Housing Act, Title VI of the Civil Rights Act of 1964, section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, and will affirmatively further fair housing. CDBG recipients applying for funds under title I of the Housing and Community Development Act of 1974 (42 U.S.C. 5301 *et seq.*) also must certify to compliance with section 109 of the Housing and Community Development Act.

(8) Certification required by 24 CFR 24.510. (The provisions of 24 CFR part 24 apply to the employment, engagement of services, awarding of contracts, subgrants, or funding of any recipients, or contractors or subcontractors, during any period of debarment, suspension, or placement in ineligibility status, and a certification is required.)

(G) OMB Circulars

For the ROSS Program, the policies, guidance, and requirements of OMB Circular No. A-87 (Cost Principles Applicable to Grants, Contracts and Other Agreements with State and Local Governments), OMB Circular No. A-122 (Cost Principles for Nonprofit Organizations), 24 CFR part 84 (Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations) and 24 CFR part 85 (Administrative Requirements for Grants and Cooperative Agreements to State and Local governments) may apply to the award, acceptance and use of assistance and to the remedies for noncompliance, except when inconsistent with the provisions of the FY 1999 HUD Appropriations Act, other Federal statutes. Copies of the OMB Circulars may be obtained from EOP Publications, Room 2200, New Executive Office Building, Washington, DC 10503, telephone (202) 395-7332 (this is not a toll free number).

(H) Conflicts of Interest

If you are a consultant or expert who is assisting HUD in rating and ranking

applicants for funding under this NOFA, you are subject to 18 U.S.C. 208, the Federal criminal conflict of interest statute, and the Standards of Ethical Conduct for Employees of the Executive Branch regulation published at 5 CFR part 2635. As a result, if you have assisted or plan to assist applicants with preparing applications for this NOFA, you may not serve on a selection panel and you may not serve as a technical advisor to HUD for this NOFA. All individuals involved in rating and ranking this NOFA, including experts and consultants, must avoid conflicts of interest or the appearance of conflicts. Individuals involved in the rating and ranking of applications must disclose to HUD's General Counsel or HUD's Ethic Law Division the following information if applicable: the selection or non-selection of any applicant under this NOFA will affect the individual's financial interests, as provided in 18 U.S.C. 208; or the application process involves a party with whom the individual has a covered relationship under 5 CFR 2635.502. The individual must disclose this information prior to participating in any matter regarding this NOFA. If you have questions regarding these provisions or if you have questions concerning a conflict of interest, you may call the Office of General Counsel, Ethics Law Division, at 202-708-3815 and ask to speak to one of HUD's attorneys in this division.

VIII. Program Requirements

Grantees must meet the following program requirements:

(A) Compliance With Civil Rights Requirements

In addition to compliance with the civil rights requirements at 24 CFR 5.105, each successful applicant must comply with the nondiscrimination in employment requirements of Title VII of the Civil Rights Act of 1964, 42 U.S.C. 2000e *et seq.*; the Equal Pay Act, 29 U.S.C. 206(d); the Age Discrimination in Employment Act of 1967, 29 U.S.C. 621 *et seq.*, and Titles I and V of the Americans with Disabilities Act, 42 U.S.C. 12101 *et seq.* Tribes/TDHEs must comply with the Indian Civil Rights Act (Title II of the Civil Rights Act of 1968, 24 U.S.C. 1001-1303); the Age Discrimination Act of 1975 (42 U.S.C. 6101-6107); and, Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794).

(B) Adhere to the Grant Agreement

After an application has been approved, HUD and the applicant shall enter into a grant agreement (Form 1044 and attachments) incorporating the

entire application except as modified by HUD and setting forth the amount of the grant and its applicable terms, conditions, financial controls, payment mechanism (which except under extraordinary conditions will operate under HUD's Line of Credit Control System (LOCCS) and special conditions, including requiring adherence to the appropriate OMB circulars and other government wide requirements and specifying sanctions for violation of the agreement. The grant agreement will include additional information regarding Insurance/Indemnification, Freedom of Information Act, grant staff personnel, exclusion period, earning and benefits, reports, close-outs, and treatment of income.

(C)

Within twelve months of HUD grant approval, successful applicants who are site-based RAs must have applied for 501(c) status from the United States Internal Revenue Service.

(D) *Risk Management*

Grantees and subgrantees are required to implement, administer and monitor programs so as to minimize the risk of fraud, waste, abuse, and liability for losses from adversarial legal action.

(E) *ROSS Evaluation and Assessment*

All applicants selected for award must be willing to participate in the evaluation and assessment that HUD intends to conduct for the ROSS Program. At grant award HUD will provide additional information on the evaluation and assessment for applicants who receive awards.

(F) *Applicant Internet Access*

Prior to the initial draw down, all grantees shall have secured online access to the Internet as a means to communicate with HUD on grant matters.

(G) *Definitions*

City-Wide Resident Organization consists of members from Resident Councils, Resident Management Corporations, and Resident Organizations who reside in housing developments that are owned and operated by the same PHA within a city.

Community Facility means a non-dwelling structure that provides space for multiple supportive services for the benefit of public housing residents (as well as others eligible for the services provided) that may include but are not limited to:

- (1) Child care;
- (2) After-school activities for youth;
- (3) Job training;

- (4) Campus of Learner activities; and
- (7) English as a Second Language (ESL) classes.

Contract Administrator means an overall administrator and/or a financial management agent that oversees the financial aspects of a grant and assists in the entire implementation of the grant. Examples of qualified organizations that can serve as a Contract Administrator are:

- (1) Local housing agencies; and
- (2) Community based organizations such as Community Development Corporations (CDCs), community churches, and State/Regional Associations/Organizations.

Development has the same meaning as the term "Project" below.

Firmly Committed means there must be a written agreement to provide the resources. This written agreement may be contingent upon an applicant receiving an award.

Elderly person means a person who is at least 62 years of age.

Jurisdiction-Wide Resident

Organization means an incorporated nonprofit organization or association that meets the following requirements:

- (1) Most of its activities are conducted within the jurisdiction of a single housing agency;
- (2) There are no incorporated Resident Councils or Resident Management Corporations within the jurisdiction of the single housing agency;
- (3) It has experience in providing start-up and capacity-building training to residents and resident organizations; and
- (4) Public housing residents representing unincorporated Resident Councils within the jurisdiction of the single housing agency must comprise the majority of the board of directors.

Intermediary Resident Organizations means Jurisdiction-Wide Resident Organizations, City-Wide Resident Organizations, State-Wide Resident Organizations, Regional Resident Organizations, and National Resident Organizations.

National Resident Organization (NRO) means an incorporated nonprofit organization or association for public housing that meets each of the following requirements:

- (1) It is national (i.e., conducts activities or provides services in at least two HUD Areas or two States);
- (2) It has experience in providing start-up and capacity-building training to residents and resident organizations; and
- (3) Public housing residents representing different geographical locations in the country must comprise the majority of the board of directors.

Person with disabilities means an adult person who:

- (1) Has a condition defined as a disability in section 223 of the Social Security Act;
- (2) Has a developmental disability as defined in section 102 of the Developmental Disabilities Assistance Bill of Rights Act; or
- (3) Is determined, pursuant to regulations issued by the Secretary, to have a physical, mental, or emotional impairment which:
 - (a) Is expected to be of long-continued and indefinite duration;
 - (b) Substantially impedes his or her ability to live independently; and
 - (c) Is of such a nature that such ability could be improved by more suitable housing conditions.

The term "person with disabilities" does not exclude persons who have the disease of acquired immunodeficiency syndrome or any conditions arising from the etiologic agent for acquired immunodeficiency syndrome. In addition, no individual shall be considered a person with disabilities, for purposes of eligibility for low-income housing, solely on the basis of any drug or alcohol dependence.

The definition provided above for persons with disabilities is the proper definition for determining program qualifications. However, the definition of a person with disabilities contained in Section 504 of the rehabilitation Act of 1973 and its implementing regulations must be used for purposes of reasonable accommodations.

Program Coordinator is a person who is responsible for coordinating various proposed RSDM activities to ensure that their accomplishment will assist in achieving overall grant goals and objectives.

Project is the same as "low-income housing project" as defined in section 3(b)(1) of the United States Housing Act of 1937 (42 U.S.C. 1437 *et seq.*) (1937 Act).

Resident Association (RA) means any or all of the forms of resident organizations as they are defined elsewhere in this Definitions section and includes Resident Councils (RC), Resident Management Corporations (RMC), Regional Resident Organizations (RRO), Statewide Resident Organizations (SRO), Jurisdiction-Wide Resident Organizations, and National Resident Organizations (NRO).

Resident Council (RC) means (as provided in 24 CFR 964.115) an incorporated or unincorporated nonprofit organization or association that shall consist of persons residing in public housing and must meet each of the following requirements in order to

receive official recognition from the PHA/HUD, and be eligible to receive funds for RC activities and stipends for officers for their related costs for volunteer work in public housing. (Although 24 CFR part 964 defines an RC as an incorporated or unincorporated nonprofit organization, HUD requires RC applicants for ROSS grants to be registered with the State at the time of application submission):

(1) It must adopt written procedures such as by-laws, or a constitution which provides for the election of residents to the governing board by the voting membership of the public housing residents. The elections must be held on a regular basis, but at least once every 3 years. The written procedures must provide for the recall of the resident board by the voting membership. These provisions shall allow for a petition or other expression of the voting membership's desire for a recall election, and set the percentage of voting membership ("threshold") which must be in agreement in order to hold a recall election. This threshold shall not be less than 10 percent of the voting membership.

(2) It must have a democratically elected governing board that is elected by the voting membership. At a minimum, the governing board should consist of five elected board members. The voting membership must consist of heads of households (any age) and other residents at least 18 years of age or older and whose name appear on a lease for the unit in the public housing that the resident council represents.

(3) It may represent residents residing in:

- (a) Scattered site buildings in areas of contiguous row houses;
- (b) One or more contiguous buildings;
- (c) A development; or
- (d) A combination of the buildings or developments described above.

Regional Resident Organization (RRO) means an incorporated nonprofit organization or association for public housing that meets each of the following requirements:

- (1) It is regional (i.e., not limited by HUD Areas);
- (2) It has experience in providing start-up and capacity-building training to residents and resident organizations; and

(3) Public housing residents representing different geographical locations in the region must comprise the majority of the board of directors.

Resident Management Corporation (RMC) (See 24 CFR 964.7, 964.120) means an entity that consists of residents residing in public housing and must have each of the following

characteristics in order to receive official recognition by the PHA and HUD:

(1) It shall be a nonprofit organization that is validly incorporated under the laws of the State in which it is located;

(2) It may be established by more than one RC, so long as each such council:

(a) Approves the establishment of the corporation; and

(b) Has representation on the Board of Directors of the corporation.

(3) It shall have an elected Board of Directors, and elections must be held at least once every 3 years;

(4) Its by-laws shall require the Board of Directors to include resident representatives of each RC involved in establishing the corporation; include qualifications to run for office, frequency of elections, procedures for recall, and term limits if desired;

(5) Its voting members shall be heads of households (any age) and other residents at least 18 years of age and whose name appear on the lease of a unit in public housing represented by the RMC;

(6) Where an RC already exists for the development, or a portion of the development, the RMC shall be approved by the RC board and a majority of the residents. If there is no RC, a majority of the residents of the public housing development it will represent must approve the establishment of such a corporation for the purposes of managing the project; and

(7) It may serve as both the RMC and the RC, so long as the corporation meets the requirements of this part for an RC.

Secretary means the Secretary of Housing and Urban Development.

Site-Based Resident Associations means Resident Councils and Resident Management Corporations.

Statewide Resident Organization (SRO) means a Site-Based incorporated nonprofit organization or association for public housing that meets the following requirements:

- (1) It is Statewide;
- (2) It has experience in providing start-up and capacity-building training to residents and resident organizations; and

(3) Public housing residents representing different geographical locations in the State must comprise the majority of the board of directors.

Tribal housing means housing assisted under the Indian Housing Block Grant Program at 24 CFR part 1000.

(H) Environmental Requirements

It is anticipated that most activities under this NOFA will be categorically excluded under 24 CFR 50.19(b)(3),

(b)(9), (b)(12), or (b)(14). An applicant proposing physical development activities is prohibited from rehabilitating, converting, leasing, repairing or constructing property, or committing or expending HUD or non-HUD funds for these types of program activities, until one of the following has occurred:

(1) If the grantee is not a PHA, HUD has completed an environmental review to the extent required by 24 CFR part 50, prior to grant awards.

(2) If the grantee is a PHA, HUD has approved the grantee's Request for Release of Funds (HUD Form 7015.15) following a Responsible Entity's completion of an environmental review under 24 CFR part 58, where required, or if HUD has determined in accordance with § 58.11 to perform the environmental review itself under part 50, HUD has completed the environmental review.

IX. Application Submission Requirements

The applicant must submit the following, which are further described in the application kit.

(A) Needs Assessment Report which includes statistical or survey information on the needs of the recipient population; please use the appropriate format provided in the application kit.

(B) A three-year work plan for implementing grant activities which includes reasonably achievable, quantifiable goals, budget, timetable and strategies, including any innovative approaches. In addition to a narrative, please use the formats provided in the application kits to chart the following:

- (1) Activity plan summary;
- (2) Activity breakout;
- (3) Budget breakout;
- (4) Summary budget;
- (5) Program resources; and
- (6) Program staffing;

(C) Information on the applicant and/or administrator track record with comparable initiatives. Please provide the chart and/or certification format provided in the application kit;

(D) Certifications and assurances referenced in this program. Applicants who are IROs or non profits operating association and/or networks operating programs that benefit public housing resident organizations must also submit a list of site-based resident associations they intend to be assisted.

(E) Memorandum of Understanding/Agreement; commitment letters; and other required documentation of partnerships.

X. Correction to Deficient Applications

After the application due date, HUD may not, consistent with 24 CFR part 4, subpart B, consider unsolicited information from an applicant. HUD may contact an applicant, however, to clarify an item in the application or to correct technical deficiencies.

Applicants should note, however, that HUD may not seek clarification of items or responses that improve the substantive quality of the applicant's response to any eligibility or selection criterion. Examples of curable technical deficiencies include failure to submit the proper certifications or failure to submit an application containing an original signature by an authorized official. In each case, HUD will notify the applicant in writing by describing the clarification or technical deficiency. HUD will notify applicants by facsimile or by return receipt requested.

Applicants must submit clarifications or corrections of technical deficiencies in accordance with information provided by HUD within 14 calendar days of the date of receipt of the HUD notification. If the deficiency is not corrected within this time period, HUD will reject the application as incomplete.

XI. Findings and Certifications

(A) Paperwork Reduction Act Statement

The information collection requirements contained in this notice were submitted to the Office of Management and Budget for review under the provisions of the Paperwork Reduction Act of 1995 (44 U.S.C. 3501–3520) and have been assigned OMB control number 2577–0211. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

(B) Environmental Impact

A Finding of No Significant Impact with respect to the environment has been made in accordance with HUD regulations at 24 CFR Part 50, which implement Section 102(2)(C) of the National Environmental Policy Act of 1969. This finding is available for public inspection between 7:30 a.m. and 5:30 p.m. weekdays in the Office of the Rules Docket Clerk, Office of the General Counsel, Department of Housing and Urban Development, Room 10276, 451 Seventh Street, SW., Washington, DC 20410.

(C) Federalism, Executive Order 12612

The General Counsel, as the Designated Official under section 6(a) of

Executive Order 12612, *Federalism*, has determined that the policies contained in this NOFA will not have substantial direct effects on States or their political subdivisions, or on the relationship between the Federal Government and the States, or on the distribution of power and responsibilities among the various levels of government. Specifically, the NOFA solicits applicants to help eligible families make the transition from welfare to work, and does not impinge upon the relationships between the Federal government and State and local governments. As a result, the NOFA is not subject to review under the Order.

(D) Prohibition Against Lobbying Activities

You, the applicant, are subject to the provisions of section 319 of the Department of Interior and Related Agencies Appropriation Act for Fiscal Year 1991, 31 U.S.C. 1352 (the Byrd Amendment), which prohibits recipients of Federal contracts, grants, or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant, or loan. You are required to certify, using the certification found at Appendix A to 24 CFR part 87, that they will not, and have not, used appropriated funds for any prohibited lobbying activities. In addition, you must disclose, using Standard Form-LLL, "Disclosure of Lobbying Activities," any funds, other than Federally appropriated funds, that will be or have been used to influence Federal employees, members of Congress, and congressional staff regarding specific grants or contracts.

(E) Section 102 of the HUD Reform Act; Documentation and Public Access Requirements

Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3545) (HUD Reform Act) and the regulations codified in 24 CFR part 4, subpart A, contain a number of provisions that are designed to ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. On January 14, 1992 (57 FR 1942), HUD published a notice that also provides information on the implementation of section 102. The documentation, public access, and disclosure requirements of section 102 apply to assistance awarded under this NOFA as follows:

(1) Documentation and Public Access Requirements

HUD will ensure that documentation and other information regarding each application submitted pursuant to this NOFA are sufficient to indicate the basis upon which assistance was provided or denied. This material, including any letters of support, will be made available for public inspection for a 5-year period beginning not less than 30 days after the award of the assistance. Material will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations in 24 CFR part 15.

(2) Disclosures

HUD will make available to the public for 5 years all applicant disclosure reports (Form HUD–2880) submitted in connection with this NOFA. Update reports (also Form HUD–2880) will be made available along with the applicant disclosure reports, but in no case for a period less than 3 years. All reports—both applicant disclosures and updates—will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations at 24 CFR part 5.

(3) Publication of Recipients of HUD Funding

HUD's regulations at 24 CFR 4.7 provide that HUD will publish a notice in the **Federal Register** on at least a quarterly basis to notify the public of all decisions made by the Department to provide:

- (i) Assistance subject to section 102(a) of the HUD Reform Act; or
- (ii) Assistance that is provided through grants or cooperative agreements on a discretionary (non-formula, non-demand) basis, but that is not provided on the basis of a competition.

(F) Section 103 HUD Reform Act

HUD's regulations implementing section 103 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3537a), codified in 24 CFR part 4, apply to this funding competition. The regulations continue to apply until the announcement of the selection of successful applicants. HUD employees involved in the review of applications and in the making of funding decisions are limited by the regulations from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions, or from otherwise giving any applicant an unfair competitive

advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted under 24 CFR part 4.

Applicants or employees who have ethics related questions should contact the HUD Ethics Law Division at (202) 708-3815. (This is not a toll-free number.) For HUD employees who have specific program questions, the employee should contact the appropriate field office counsel, or

Headquarters counsel for the program to which the question pertains.

(G) *Catalog of Federal Domestic Assistance Numbers*

The Catalog of Federal Domestic Assistance number for this program is 14.870.

XIII. Authority.

The Departments of Veterans Affairs and Housing and Urban Development, Independent Agencies Appropriation Act of 1999 (Pub. L. 105-276, 112 Stat.

2461, approved October 21, 1998), and the Departments of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 1998 (Pub. L. 105-65, 111 Stat. 1344, approved October 27, 1997).

Dated: July 27, 1999.

Harold Lucas,

Assistant Secretary for Public and Indian Housing.

[FR Doc. 99-20429 Filed 8-4-99; 2:21 pm]

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